

U.S. ARMY SERGEANTS MAJOR ACADEMY (BNCOC)

L324/ ETHICAL BEHAVIOR

OCT 04



**Stand Alone Common Core**

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## TRAINING SUPPORT PACKAGE (TSP)

<b>TSP Number / Title</b>	L324 / ETHICAL BEHAVIOR
<b>Effective Date</b>	01 Oct 2004
<b>Supersedes TSP(s) / Lesson(s)</b>	L324, Apply Leadership Fundamentals to Create a Climate That Fosters Ethical Behavior, Version 1, Oct 03
<b>TSP Users</b>	600-BNCOC-Basic Noncommissioned Officer Course
<b>Proponent</b>	The proponent for this document is the Sergeants Major Academy.
<b>Improvement Comments</b>	<p>Users are invited to send comments and suggested improvements on DA Form 2028, <i>Recommended Changes to Publications and Blank Forms</i>. Completed forms, or equivalent response, will be mailed or attached to electronic e-mail and transmitted to:</p> <p>COMDT USASMA ATTN ATSS DC BLDG 11291 BIGGS FIELD FT BLISS TX 79918-8002</p> <p>Telephone (Comm): (915) 568-8875 Telephone (DSN): 978-8875 e-mail: atss-dcd@bliss.army.mil</p>
<b>Security Clearance / Access</b>	Unclassified
<b>Foreign Disclosure Restrictions</b>	This product/publication has been reviewed by the product developers in coordination with the USASMA foreign disclosure authority. This product is releasable to students from all requesting foreign countries without restrictions.

## PREFACE

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**Purpose**

This Training Support Package provides the instructor with a standardized lesson plan for presenting instruction for:

**Task Number****Task Title**

158-100-1135

Apply Leadership Fundamentals to Create a Climate That Fosters Ethical Behavior

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**This TSP  
Contains**

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**ETHICAL BEHAVIOR**  
**L324 / Version 1**  
**01 Oct 2004**

**SECTION I. ADMINISTRATIVE DATA**

<b>All Courses Including This Lesson</b>	<u>Course Number</u> 600-BNCOC	<u>Version</u> 1	<u>Course Title</u> Basic Noncommissioned Officer Course
<b>Task(s) Taught(*) or Supported</b>	<u>Task Number</u>	<u>Task Title</u>	
	158-100-1134 (*)	Resolve an Ethical Problem	
	158-100-1135 (*)	Apply Leadership Fundamentals to Create a Climate That Fosters Ethical Behavior	
	158-100-1150 (*)	Motivate Subordinates To Improve Performance	
	158-100-1170 (*)	Apply Team Development Techniques To Enhance Unit Performance	
<b>Reinforced Task(s)</b>	<u>Task Number</u>	<u>Task Title</u>	
<b>Academic Hours</b>	The academic hours required to teach this lesson are as follows:		
	<u>Resident Hours/Methods</u>		
	40 mins / Conference / Discussion		
	1 hr 10 mins / Practical Exercise (Performance)		
Test	0 hrs		
Test Review	0 hrs		
	Total Hours:	2 hrs	
<b>Test Lesson Number</b>	<u>Hours</u>		<u>Lesson No.</u>
	Testing (to include test review)		
	3 hours		E303
<b>Prerequisite Lesson(s)</b>	<u>Lesson Number</u>	<u>Lesson Title</u>	
	None		
<b>Clearance Access</b>	Security Level: Unclassified Requirements: There are no clearance or access requirements for the lesson.		
<b>Foreign Disclosure Restrictions</b>	This product/publication has been reviewed by the product developers in coordination with the USASMA foreign disclosure authority. This product is releasable to students from all requesting foreign countries without restrictions.		

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**References**

<u>Number</u>	<u>Title</u>	<u>Date</u>	<u>Additional Information</u>
FM 22-100	ARMY LEADERSHIP	31 Aug 1999	

**Student Study Assignments**

Before class--

- Read material in advance sheet.
- Read FM 22-100, Chap 2, pp 2-1 thru 2-28, Chap 3, pp 3-1 thru 3-19, Chap 4, pp 4-8 thru 4-10, Chap 5, pp 5-23 thru 5-25, and App D, pp D-1 thru D-5.

During class--

- Participate in the classroom discussion.
- Complete the practical exercises.

After class--

- Review all reference material.
- Turn in recoverable references after the examination for this lesson.

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**Instructor Requirements**

1:16, SSG, BNCOC graduate, ITC and SGITC qualified.

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**Additional Support Personnel Requirements**

<u>Name</u>	<u>Stu Ratio</u>	<u>Qty</u>	<u>Man Hours</u>
None			

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**Equipment Required for Instruction**

<u>ID Name</u>	<u>Stu Ratio</u>	<u>Instr Ratio</u>	<u>Spt</u>	<u>Qty</u>	<u>Exp</u>
441-06 LCD PROJECTION SYSTEM	1:16	1:1	No	1	No
559359 SCREEN PROJECTION	1:16	1:1	No	1	No
702101T134520 DELL CPU, MONITOR, MOUSE, KEYBOARD	1:16	1:1	No	1	No
703500T102257 DESKTOP/EPSON PRINTER	1:16	1:1	No	1	No
7110-00-T81-1805 DRY ERASE BOARD	1:16	1:1	No	1	No
7510-01-424-4867 EASEL, (STAND ALONE) WITH PAPER	1:16	1:1	No	1	No
SNV1240262544393 36 - INCH COLOR MONITOR W/REMOTE CONTROL AND LUXOR STAND	1:16	1:1	No	1	No

\* Before Id indicates a TADSS

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**Materials  
Required**

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**Instructor Materials:**

- Reference material, TSP, and VGTs (1 thru 5).
- Copies of the practical exercise.
- Copies of the check on learning exercise.

**Student Materials:**

- Pencils or pens.
- Writing paper.
- Advance packet.

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**Classroom,  
Training Area,  
and Range  
Requirements**

General Instruction Building (Classroom Size 40x40 Per 16 Students)

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**Ammunition  
Requirements**

<u><b>Id</b></u>	<u><b>Name</b></u>	<u><b>Exp</b></u>	<u><b>Stu Ratio</b></u>	<u><b>Instr Ratio</b></u>	<u><b>Spt Qty</b></u>
None					

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**Instructional  
Guidance**

**NOTE:** Before presenting this lesson, instructors must thoroughly prepare by studying the lesson and identified reference material.

Before class--

- Issue all recoverable materials NLT three days prior to class.
- Read all TSP materials.
- Study and be ready to conduct PEs.
- Assign Student Discussion Leader at least three days prior to class schedule.

During class--

- Facilitate the small group process IAW TSP.
- Assist Student Discussion Leader with PEs.

After class--

- Collect all recoverable material.
  - Report any TSP discrepancies to the Senior Small Group Leader.
  - Conduct After Action Review for this TSP.
-

**Proponent  
Lesson Plan  
Approvals**

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<u>Name</u>	<u>Rank</u>	<u>Position</u>	<u>Date</u>
\s\Curtiss W. Garner	GS09	Training Specialist	9 Aug 04
\s\Phillip W. King	GS11	Course Manger, B/ANCOC	9 Aug 04
\s\Agnes D. Bennett-Green	SGM	Chief, B/ANCOC	9 Aug 04
\s\Marion Lemon	SGM	Chief, CMDD	9 Aug 04

## SECTION II. INTRODUCTION

Method of Instruction: <u>Conference / Discussion</u>
Technique of Delivery: <u>Small Group Instruction (SGI)</u>
Instructor to Student Ratio is: <u>1:16</u>
Time of Instruction: <u>5 mins</u>
Media: <u>None</u>

### Motivator

As future leaders, you will move into positions of responsibility and make decisions that help make the Army an organization the nation takes pride in. Your actions will make major contributions to the ethical climate of your unit. Your ability to analyze and, more importantly, influence the ethical climate of your unit is a significant responsibility as well as a critical factor in assessing your effectiveness as a leader.

### Terminal Learning Objective

**NOTE:** Inform the students of the following Terminal Learning Objective requirements.

At the completion of this lesson, you [the student] will:

<b>Action:</b>	Apply leadership fundamentals to improve the ethical climate within an organization or unit.
<b>Conditions:</b>	As a small unit leader in a company or battalion level unit.
<b>Standards:</b>	<div>Applied leadership fundamentals to improve the ethical climate within an organization or unit by:<ul style="list-style-type: none"><li>identifying how a leader's ethical behavior influence's a squad's climate.</li><li>Applying ethical reasoning to choose a course of action that best represents Army values.</li></ul></div> <div>IAW FM 22-100.</div>

### Safety Requirements

None

### Risk Assessment Level

Low

### Environmental Considerations

**NOTE:** It is the responsibility of all soldiers and DA civilians to protect the environment from damage.

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**Evaluation**

During this course, you will take a 50-question examination. The examination will include questions on the ELOs and TLO from this lesson. You must correctly answer at least 35 questions or more to receive a GO. A GO is a graduation requirement.

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**Instructional  
Lead-In**

The Army throughout its long history has had its share of strong and weak leaders. The Army's greatest successes and failures have reflected its leadership. As a squad leader, you are in a position to help the Army achieve new heights of success. Your ability to analyze and influence your squad's ethical climate will determine your effectiveness as a squad leader in peace and war. Your task is to foster Army values in the squad and its members.

Today's lesson will identify those factors which affect your squad's ethical climate, how they relate to the Army's values, and how leadership behaviors improve and maintain the ethical climate in your squad.

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### SECTION III. PRESENTATION

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1. Learning Step / Activity 1. Review Homework Reading

Method of Instruction: Conference / Discussion  
Technique of Delivery: Small Group Instruction (SGI)  
Instructor to Student Ratio: 1:16  
Time of Instruction: 5 mins  
Media: None

**NOTE:** Review and discuss questions that students may have on the homework reading (FM 22-100, Army Leadership, portions of Chapters 2 thru 5 and Appendix D).

2. Learning Step / Activity 2. Army Values

Method of Instruction: Conference / Discussion  
Technique of Delivery: Small Group Instruction (SGI)  
Instructor to Student Ratio: 1:16  
Time of Instruction: 20 mins  
Media: VGT-1 thru VGT-4

**NOTE:** Appendix A contains VGTs to facilitate this 20-minute discussion.

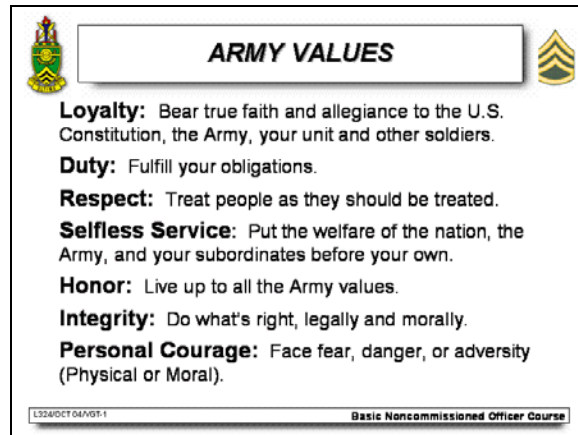
The intention of this presentation is to get you to think about how ethical behavior relates to leadership and how you can use your knowledge of ethical behavior to improve your own leadership skills.

This lesson will assist you in the identification and assessment of a squad's ethical climate. We will identify the factors which affect the ethical climate and determine how they contribute or detract from ethical conduct.



## SHOW VGT-1, ARMY VALUES

Selfless-service, as a traditional value, places the accomplishment of the mission ahead of individual desires.



Ref: FM 22-100, Chap 2, p 2-3, para 2-6

Every Army unit (large or small) has an ethical climate that reflects the character of the individual members, the policies and practices of the organization, actions of the leaders, the environment, and the unit's mission. The ethical climate determines the day-to-day behavior of the unit and its membership. The Army's leadership identified seven key values that soldiers and units must practice: loyalty, duty, respect, selfless service, honor, integrity, and personal courage. Soldiers are to practice these values while at the same time ensuring they bear true faith and allegiance to other soldiers, the unit, the Army, and the U.S. Constitution. We call this loyalty.

Soldiers fulfill their obligations and perform their duty. Soldiers treat people as they should. That is, they respect each other. Soldiers put the welfare of the other soldiers, the Army and the Nation before their own; they show selfless service. Soldiers live up to all the Army values (honor). Soldiers do what's right legally and morally (integrity). Soldiers face fear, danger or adversity (physical or moral) with personal courage.

Ref: FM 22-100, Chap 2 and 5

As an Army leader, you are the ethical standard bearer for your organization. You're responsible for building an ethical climate that demands and rewards behavior consistent with

Army values. The primary factor affecting an organization's ethical climate is its leader's ethical standard.

Ref: FM 22-100, Chap 5, para 5-120


By choosing to join our Army community, we expect you to live by a code of conduct and encourage you, when faced with choices, to always take the ethical path. As adults, soldiers must be accountable for their actions. No one can control your behavior but you, and rules alone cannot mold your actions in a particular way. Within your responsibilities lie the choices you make each day. The right choices can lead to success in all of your endeavors.

### REMOVE VGT-1


Consider the following scenario:

Selfless Service

### SHOW VGT-2, SELFLESS SERVICE SCENARIO



#### SELFLESS SERVICE SCENARIO



A squad leader has a deadline vehicle that requires immediate repair to fulfill mission requirements. However, he does not receive the repair parts until late in the duty day. He knows that this vehicle must be ready for the next day's operations. He also knows that the unit commander discourages overtime work. Further, his soldiers have worked hard to keep all the vehicles in excellent condition. He decides to install the parts in the morning and give his soldiers the evening off. Further, the squad leader received tickets for his wife and him to attend a concert that evening.

132400CT 04/VGT-2 Basic Noncommissioned Officer Course

**NOTE:** Answer the first question before going to the second. Record on the white board or easel paper the student responses.

1. What are the values in this scenario?
2. How do these values support the Army values?
3. Is there a conflict?
4. Why?

Expected Responses:

1. Self-service; respect for soldiers; personal courage; loyalty to soldiers but not strong loyalty to mission.
2. All the values but "self-service" and "limited loyalty" support the seven Army Values.
3. The conflict is with "self-service" and "selfless service." "Self-service" focuses on the interests and needs of the individual. "Self-service" allows leaders to focus on "loyalty" to

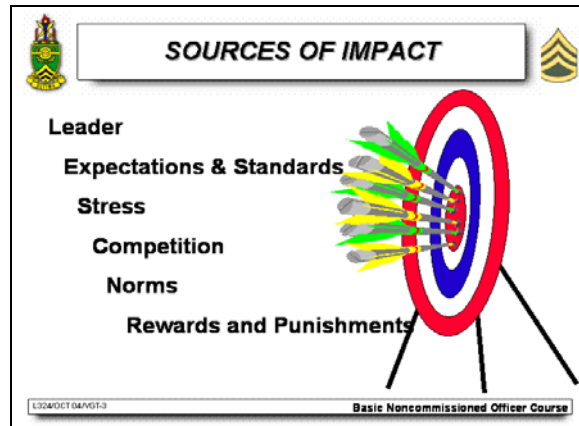
soldiers while accomplishing the unit's mission. Thus there is a conflict between the Army value of selfless service and the unit's climate which encourages self-service.

4. The squad's leadership has a loyalty to the troops but not to the larger unit of which it is a part.

Ref: FM 22-100, Chap 2

**REMOVE VGT-2**

**SHOW VGT-3, SOURCES OF IMPACT**



Several factors influence a squad's ethical climate. The management of these factors influences the behavior of the squad. The major factors are the following:

Leader. The behavior of a squad leader is the most important influence on the squad's climate. Leaders set the example. They send out a powerful message about what is acceptable and what is not. A leader that can admit when he is wrong has a positive influence on the climate of an organization. Leaders reinforce or do not reinforce Army values and they correct unethical behavior.

Expectations and standards. Leaders must ensure that their policies, directives, or orders are clear and understandable. Leaders must also ensure the understanding and enforcement of their standards. If your soldiers do not understand what standard you expect, the squad will not fulfill your expectations.

QUESTION: According to FM 22-100, what three characteristics are key to instilling discipline?

ANSWER:

- Training to standard, using rewards and punishment judiciously.
- Instilling confidence in and building trust among team members.
- Creating a knowledgeable collective will.

Ref: SH-2, FM 22-100, Chap 3, p 3-2, para 3-9

QUESTION: According to FM 22-100, what two present day challenges cause stress in all leaders?

ANSWER:

- Technology.
- The changing threat.

Ref: SH-2, FM 22-100, Chap 3, pp 3-8 and 3-11

Stress. Stress has both positive and negative affects.

Stress: (Role Overload)

The first type of stress is role overload. It includes too many things to do, insufficient resources, inadequate guidance, and unrealistic deadlines that increase the pressure to cut corners. An example of role overload is a conflict between a directive and its effect on subordinates (e.g., a directive that all SGTs (E5s) and below must move back into the barracks with no exceptions for married personnel).

Climate Factors. A second type of stress is role conflict. This, for example, could involve the off-duty relationship between a superior and a subordinate. These role conflicts might result in unethical situations.

Competition. Competition is healthy. Healthy competition can help create a squad with a positive attitude. The problem, however, occurs when we see our purpose is to "win at all costs." This can create pressures that may compromise ethical standards.

Norms. Norms describe how the squad functions. They include both formal and informal rules and regulations that govern the behavior of the members. The informal norms, however, are those which are more powerful than the formal norms.

In the scenario of the squad leader with a dead-lined vehicle, it was the informal norms that seemed to have a stronger influence on the leader's decision. Leaders need to examine a squad's norms to determine what effect they are having on the squad's climate.

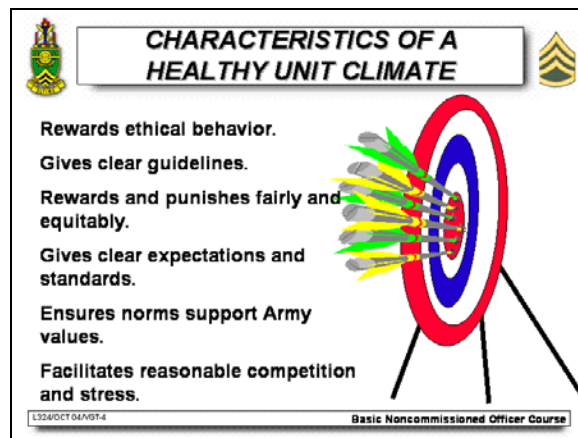
Rewards and punishments strongly influence the squad's climate. Soldiers need rewarding for the good work they do. Leaders must ensure that they reward the good work of their soldiers. Leaders must also administer rewards consistently and fairly. At the same time leaders need to consistently and fairly correct any behavior that violates the Army values. Soldiers catch on quickly to behavioral rewards, or lack thereof.

Soldiers, individually and collectively, learn how to behave by observing fellow soldiers. We learn not only appropriate and inappropriate actions, but also the consequences of those actions. Soldiers must be able to observe ethical behavior in the actions of the leader. Your behavior in and out of the squad will reinforce or negate the Army values. Your soldiers will know what is important to you by the example you set.

We have seen how the factors that impact the squad and the leader's consistent and fair use of rewards and punishments directly influence the squad's climate.

### **REMOVE VGT-3**

### **SHOW VGT-4, CHARACTERISTICS OF A HEALTHY UNIT CLIMATE**



Rewards Ethical Behavior. The unit commander publicly rewards ethical behavior based on squad leaders' recommendation.

Gives Clear Guidelines. There are clear guidelines as to what is or is not ethical.

Rewards and Punishes Fairly and Equitably. The command distributes all rewards and punishments fairly and equitably.

Gives Clear Expectations and Standards. The command has clearly defined its expectations and standards.

Ensures Norms Support Army Values. The squad's informal norms support the Army values: loyalty, duty, respect, selfless service, honor, integrity, and personal courage.

Facilitates Reasonable Competition and Stress. The levels of competition and stress are relatively low.

Ref: FM 22-100, Chap 3 and 4

## REMOVE VGT-4

3. Learning Step / Activity 3. Practical Exercise/Solution
- Method of Instruction: Practical Exercise 1 (Performance)
  - Technique of Delivery: Small Group Instruction (SGI)
  - Instructor to Student Ratio: 1:16
  - Time of Instruction: 20 mins
  - Media: None

During the next portion of this lesson, you will assess the ethical climate of a squad.

### NOTE:

- a. Hand out Practical Exercise 1 (see Appendix C).
- b. Break class into 3 groups (not more than 6 students in each group). Inform the groups that they will each have to brief a portion of their findings. Give groups 10 minutes to complete the practical exercise (see Appendix C).
- c. Give instructor guidance to students for analyzing the practical exercise.
  - (1) Identify the command climate in the case study as demonstrated by unit members.
  - (2) Identify who is responsible for developing and maintaining an ethical climate in the practical exercise.
  - (3) Identify behaviors which need changing.

**NOTE:** Assist the students as they work the practical exercise.

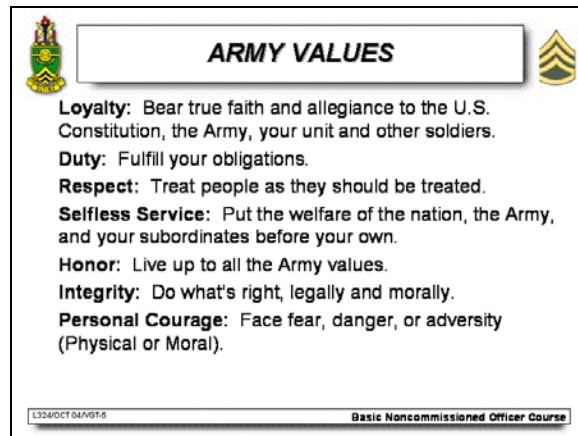
At the end of the 10 minutes, have each group brief at least one of the three guidance questions. Ask the other groups if they came up with different results and for any other feedback they may have. Finish by adding any points they may have overlooked from the solution sheet in Appendix C (instructor use only).

**Break** Time: 00:50 to 01:00

4. Learning Step / Activity 4. Army Values
- Method of Instruction: Conference / Discussion
  - Technique of Delivery: Small Group Instruction (SGI)
  - Instructor to Student Ratio: 1:16
  - Time of Instruction: 5 mins
  - Media: VGT-5

Let's go back to Army values. How the American people's trust in their Army depends on the Army's implementation of these values, how these values define the Army's character, and how they serve as the Army's moral compass.

## SHOW VGT-5, ARMY VALUES



1. The professional Army ethic provides the moral context for the Army in its service to the Nation. The moral values of the Constitution and the individual values that strengthen the Army ethic integrate into a squad by the actions of its members.
2. Army values are essentially "the way things should be." They establish the standards of required behavior for all soldiers. An Army squad that possesses a positive ethical climate reinforces each of these values in its behavior. Day-to-day operations and tactical training reflect a healthy ethical climate because unit members do things the way they should be done. As noted earlier, climate is essentially "the way things are."

During your groups' analysis of the practical exercise, you identified several values that reflect the climate. Most likely you identified some values that may differ from Army values. During your next practical exercise you will compare your previous practical exercise with Army values.

## REMOVE VGT-5

### 5. Learning Step / Activity 5. Practical Exercise/Solution

Method of Instruction:	Practical Exercise 2 (Performance)
Technique of Delivery:	Small Group Instruction (SGI)
Instructor to Student Ratio:	1:16
Time of Instruction:	15 mins
Media:	None

**NOTE:** During the next portion of this lesson you will assess the Army values of a squad.

- a. Hand out Practical Exercise 2 (see Appendix C).
- b. Break class into 3 groups (not more than 6 students in each group). Inform the groups

that they will each have to brief a portion of their findings.

c. Give instructor guidance to students for analyzing the in-class practical exercise. During this PE identify the following:

- (1) Army values in the practical exercise as demonstrated by squad members.
- (2) Any conflicts between the Army values and the command climate and how the command climate contributed to the conflicts.
- (3) The behaviors which support or conflict with the Army values.

**NOTE:** Inform the group they have 5 minutes to complete this task. Assist the students as they work through the practical exercise.

At the end of the 5 minutes, have each group brief at least one of the three guidance questions. Ask the other groups if they came up with different results and for any other feedback they may have. Finish by adding any points they may have overlooked from the solution sheet in Appendix C (Instructor use only).

6. Learning Step / Activity 6. Practical Exercise/Solution

Method of Instruction:	Practical Exercise 3 (Performance)
Technique of Delivery:	Small Group Instruction (SGI)
Instructor to Student Ratio :	1:16
Time of Instruction:	25 mins
Media:	None

Ethical leaders do the right things for the right reasons all the time, even when no one is watching. But figuring out what's the "right" thing is often, to put it mildly, a most difficult task. To fulfill your duty, maintain your integrity, and serve honorably, you must be able to reason ethically.

Now that we have looked at conflicts in Army values and direct behavior of leaders and subordinates using a practical exercise, you will build on your previous work and determine which leadership behaviors we need to make this a climate that fosters ethical behavior.

**NOTE:**

- a. Hand out Practical Exercise 3 (see Appendix C).
- b. Break class into 2 or 3 groups (not more than 6 students in each group). Inform the groups that they will each have to brief a portion of their findings. Give groups 10 minutes to arrive at their solution. (See Appendix C.).
- c. Give instructor guidance to students for analyzing the in-class practical exercise.

At the end of the 10 minutes, have each group brief their group's solution. Finish by adding any points they may have overlooked from the solution sheet in Appendix C (Instructor use only).



#### SECTION IV. SUMMARY

Method of Instruction: <u>Conference / Discussion</u>
Technique of Delivery: <u>Small Group Instruction (SGI)</u>
Instructor to Student Ratio: <u>1:16</u>
Time of Instruction: <u>5 mins</u>
Media: <u>None</u>

#### Check on Learning

QUESTION: What do we mean when we refer to a unit's climate?

ANSWER: Climate refers to the environment of units and organizations.

Ref: SH-2, FM 22-100, Chap 3, p 3-12, para 3-52

QUESTION: What is the primary factor affecting an organization's ethical climate?

ANSWER: The leader's ethical standard.

Ref: SH-2, FM 22-100, Chap 5, p 5-23, para 5-120

QUESTION: Character is made up of what two interacting parts?

ANSWER: Values and attributes.

Ref: SH-2, FM 22-100, Chap 2, p 2-2, para 2-3

QUESTION: What is the last step in solving any problem?

ANSWER: Making a decision and acting on it.

Ref: SH-2, FM 22-100, Chap 4, p 4-9, para 4-37

#### Review / Summarize Lesson

We have discussed what may be the greatest challenge of your leadership abilities, ensuring Army values are part of your squad's performance. You have considered how you can apply your leadership skills to create a climate that fosters ethical behavior in the squad. Your understanding of the relationship between leadership, Army values, and the command climate will help you apply your skills to creating a positive squad climate.

**NOTE:** Make sure you repeat the terminal learning objective of the lesson. Determine if students have learned the material presented by soliciting student questions and explanations. Ask the students questions and correct any misunderstandings.

## SECTION V. STUDENT EVALUATION

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### Testing Requirements

**NOTE:** Describe how the student must demonstrate accomplishment of the TLO. Refer student to the Student Evaluation Plan.

During this course, you will take a 50-question examination. The examination will include questions on the ELOs and TLO from this lesson. You must correctly answer at least 35 questions or more to receive a GO. A GO is a graduation requirement.

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### Feedback Requirements

**NOTE:** Feedback is essential to effective learning. Schedule and provide feedback on the evaluation and any information to help answer students' questions about the test. Provide remedial training as needed. Discuss the students' responses on the practical exercises and check on learning.

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### Transition to Next Lesson

Now that you have identified those factors which affect your squad's ethical climate, how they relate to the Army's values, and how leadership behaviors improve and maintain the ethical climate in your squad, you will have a better understanding of these factors as you move on to the following lesson.

---

Enabling Learning Objective A

Learning Step 2

VGT-1, Army Values



## ***ARMY VALUES***



**Loyalty:** Bear true faith and allegiance to the U.S. Constitution, the Army, your unit and other soldiers.

**Duty:** Fulfill your obligations.

**Respect:** Treat people as they should be treated.

**Selfless Service:** Put the welfare of the nation, the Army, and your subordinates before your own.

**Honor:** Live up to all the Army values.

**Integrity:** Do what's right, legally and morally.

**Personal Courage:** Face fear, danger, or adversity (Physical or Moral).



## ***SELFLESS SERVICE SCENARIO***



A squad leader has a deadlined vehicle that requires immediate repair to fulfill mission requirements. However, he does not receive the repair parts until late in the duty day. He knows that this vehicle must be ready for the next day's operations. He also knows that the unit commander discourages overtime work. Further, his soldiers have worked hard to keep all the vehicles in excellent condition. He decides to install the parts in the morning and give his soldiers the evening off. Further, the squad leader received tickets for his wife and him to attend a concert that evening.



## ***SOURCES OF IMPACT***



**Leader**

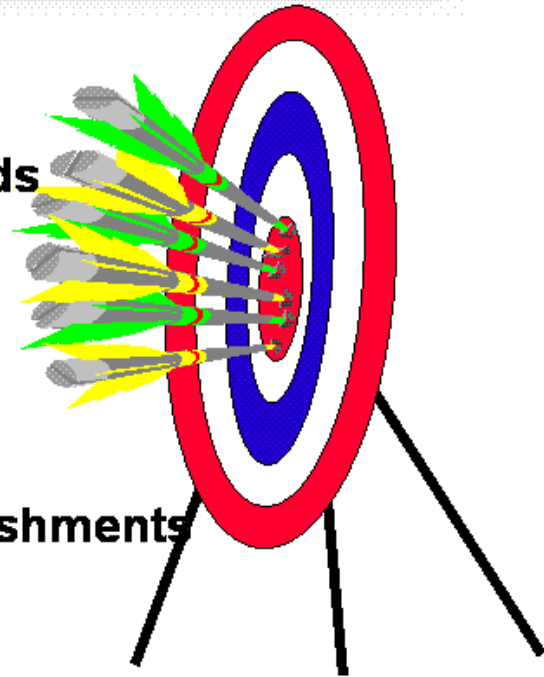
**Expectations & Standards**

**Stress**

**Competition**

**Norms**

**Rewards and Punishments**





## ***CHARACTERISTICS OF A HEALTHY UNIT CLIMATE***



**Rewards ethical behavior.**

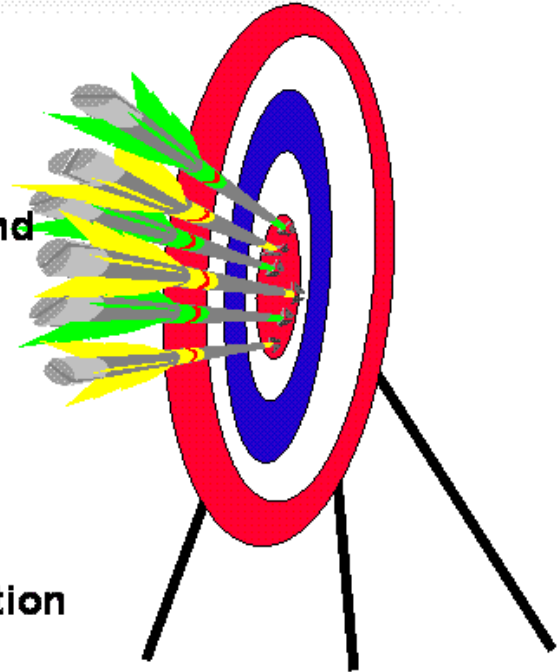
**Gives clear guidelines.**

**Rewards and punishes fairly and equitably.**

**Gives clear expectations and standards.**

**Ensures norms support Army values.**

**Facilitates reasonable competition and stress.**





## ***ARMY VALUES***



**Loyalty:** Bear true faith and allegiance to the U.S. Constitution, the Army, your unit and other soldiers.

**Duty:** Fulfill your obligations.

**Respect:** Treat people as they should be treated.

**Selfless Service:** Put the welfare of the nation, the Army, and your subordinates before your own.

**Honor:** Live up to all the Army values.

**Integrity:** Do what's right, legally and morally.

**Personal Courage:** Face fear, danger, or adversity (Physical or Moral).

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**Appendix B Test(s) and Test Solution(s) (N/A)**

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## **Practical Exercises and Solutions**

This appendix contains the items listed in this table--

<b>Title/Synopsis</b>	<b>Pages</b>
PE-1 and PE-2 Scenario	C-2 and C-3
PE-1 and Solution	C-4 thru C-6
PE-2 and Solution	C-7 thru C-9
PE-3 Scenario	C-10
PE-3 and Solution	C-10 thru C-13

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## **INSTRUCTIONS: USE THE FOLLOWING SCENARIO TO COMPLETE PE-1, and.2**

### **DESERTION**

#### **SCENARIO**

In 1995 a young man joined the Army, attended basic training, AIT, followed by assignment to his first permanent duty post. After being on post for 14 months, he deserted. Two years later the authorities apprehended him. He was court-martialed and pled guilty to a single specification of desertion terminated by apprehension. After sentencing by a military judge to a reduction in grade to E-1, he received a bad conduct discharge (BCD).

On the surface, this seems like a very light sentence for desertion. But now, let's look at the rest of the story.

The young man had joined the Army after completing several semesters of college work. After completing basic training, en route to AIT, he married his high school sweetheart.

At his first permanent duty assignment, he could not get on-base housing, so he and his wife rented a small apartment about 10 miles from the base. As with most very young couples, there wasn't a lot of money; in fact, there were some small debts which were being paid off month-to-month. He had taken advance pay for the apartment deposit and to cover minor moving expenses. His car became unreliable, so he got more advance pay to make a down payment on a newer, more reliable car. They were making it, but barely. He wanted to get a second job. He discussed this with his NCOIC, SSG Kennedy, and his chain of command, but all told him that this was not allowable. His wife could not work because she had had several episodes of illness. The post doctor, Doctor Smith, suspected kidney problems and referred her off-post for evaluation. Tests showed she had less than 20 percent of her kidney function left.

Renal failure is a progressive, insidious disease. Lost kidney function is not restorable. Without dialysis, the body fills up with poison. In this case, her normal weight went from 130 to 200 pounds, solely because of the excess fluid in her system. Dialysis was the only solution. There was no available equipment at the base for dialysis. This resulted in her admission to the local hospital to have an artificial vein created to prepare for dialysis. The surgery was unsuccessful, and the next month she had additional surgery to create a vein in her leg.

The young soldier did not have any supplementary insurance. His application for Medicaid was refused because the military provided his dependent with medical care. Medical bills began to mount. TRICARE STANDARD has a catastrophic cap of \$7,500, but \$7,500 is a lot of money when you don't have it. Further, that cap renews each calendar year.

TRICARE STANDARD does not cover all medical bills. For example, Dr. Smith told the soldier that a particular hospital in the civilian community was the only place where his wife could get the necessary treatment even though he knew that the hospital routinely billed higher fees than TRICARE STANDARD allowed. Also, Dr. Smith and the hospital staff failed to inform TRICARE STANDARD the civilian hospital would provide treatment because the services were not available in the military hospital. Subsequently, TRICARE STANDARD refused to pay for routine lab work and x-rays that the soldier's wife had as a patient at the civilian hospital because they were available at the military hospital. All declined claims were the soldier's responsibility to pay. Military personnel never adequately answered the soldier's question of how his wife was supposed to get to the post to get these services when she was an in-patient downtown.

When the soldier went to his command for help, SSG Kennedy and 1SG Cain told the soldier to apply for a compassionate reassignment to a post that was near his extended family. This post had a hospital with the ability to treat his wife's condition which would significantly reduce his expenses, and his family would be able to help out with getting his wife to appointments, along with providing emotional support. The Army turned down his request. He obtained more documentation from his wife's doctor and

reapplied. His second request also met denial. At no time did his NCOIC, 1SG, commander, or anyone else discuss the possibility of a hardship discharge.

For five months, the soldier tried to get other help from the Army. With all the medical and normal expenses, he couldn't make ends meet. His command recommended he go to Army Community Services for assistance. Subsequently, he attended a budgeting class. He was trying, but everything seemed to be working against him. His wife's condition continued to worsen. She needed some pretty expensive medication. One type alone cost \$50.00 a week. TRICARE would pay for some but the soldier had to pay for it first and then file a claim. He got an emergency loan from Army Relief through Army Community Services, but he was told their money was tight, and he would have to find some other way to buy the medicine the next time.

His wife's medical condition continued to deteriorate. She was unable to drive, and the soldier had to drive her everywhere. SSG Kennedy and 1SG Cain repeatedly reminded the soldier that his military duties were suffering. She needed three 4-hour sessions of dialysis per week. The hospital was 30 minutes away from the post.

The soldier took a day off from work, got all of his belongings, placed them in a trailer, got his wife, and went to his hometown. Over the two years he was a deserter, he got a job, got promoted in that job, and took care of his wife. At the time of his apprehension, his wife was virtually blind and in a wheelchair.

Subsequently the Army tried the soldier and found him guilty for desertion and gave him a Bad Conduct Discharge. After the trial, the judge said the Army had deserted the soldier long before the soldier deserted the Army.

## PRACTICAL EXERCISE 1

**Title** DESERTION

**Lesson Number/Title** L324 version 1 / ETHICAL BEHAVIOR

**Introduction** During the next portion of this lesson you will assess the Army values of a squad.

**Motivator** This practical exercise gives you an opportunity to assess the command climate of your squad.

**Learning Step/Activity** **NOTE:** The instructor should inform the students of the following Terminal Learning Objective covered by this practical exercise.

At the completion of this lesson, you [the student] will:

<b>Action:</b>	Apply leadership fundamentals to improve the ethical climate within an organization or unit.
<b>Conditions:</b>	As a small unit leader in a company or battalion level unit.
<b>Standards:</b>	<p>Applied leadership fundamentals to improve the ethical climate within an organization or unit by:</p> <ul style="list-style-type: none"><li>• Identifying how a leader's ethical behavior influence's a squad's climate.</li><li>• Applying ethical reasoning to choose a course of action that best represents Army values.</li></ul> <p>IAW FM 22-100.</p>

**Safety Requirements** None

**Risk Assessment Level** Low

**Environmental Considerations** None

<b>Evaluation</b>	<p>You must identify the command climate in the practical exercise as demonstrated by unit members. Identify who is responsible for developing and maintaining an ethical climate in the practical exercise.</p> <p>Identify behaviors that need changing.</p>
<b>Instructional Lead-In</b>	<p>In 1995 a young man joined the Army, attended basic training, AIT, followed by assignment to his first permanent duty post. After being on post for 14 months, he deserted. Two years later the authorities apprehended him. After a court-martialed he pled guilty to a single specification of desertion terminated by apprehension. After sentencing by a military judge and a reduction in grade to E-1, he received a bad conduct discharge (BCD).</p>
<b>Resource Requirements</b>	<p><b>Instructor Materials:</b></p> <ul style="list-style-type: none"> <li>• Paper, easel paper and/or white board.</li> </ul> <p><b>Student Materials:</b></p> <ul style="list-style-type: none"> <li>• Pencils or pens.</li> <li>• Writing paper.</li> <li>• Advanced packet.</li> </ul>
<b>Special Instructions</b>	<p>Inform the groups that they will each have to brief a portion of their findings.</p>
<b>Procedures</b>	<p>You have 10 minutes to complete the practical exercise and prepare to brief the other groups. Upon completion ask the other groups if they came up with different results and for any other feedback they may have. Finish by adding any points they may have overlooked from the solution sheet.</p>
<b>Feedback Requirements</b>	<p>Ask the other groups if they came up with different results and for any other feedback they may have. Finish by adding any points they may have overlooked from the solution sheet.</p>



## SOLUTION TO PRACTICAL EXERCISE 1

**Instructor  
Use Only**

IN-CLASS PRACTICAL EXERCISE - DESERTION

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QUESTION: 1: What is the command climate of the unit?

There are several indicators that suggest the ethical climate of this post is not what it should be. Senior leaders failed to ensure the health and welfare of soldiers and families. They lost sight of soldiers' needs. Since we learn by imitation, subordinates also begin to lose sight of soldiers' needs.

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QUESTION: 2: Who is responsible?

It appears that both the command and medical authorities contributed to the problem.

---

QUESTION: 3: What behaviors should we change?

The failure of the command to listen to and discuss all the options open to help the soldier resolve his financial, emotional, and medical problems contributed to the loss of this soldier and his subsequent conviction for desertion.

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## PRACTICAL EXERCISE 2

<b>Title</b>	DESERTION						
<b>Lesson Number/Title</b>	L324 version 1 / ETHICAL BEHAVIOR						
<b>Introduction</b>	During this practical exercise you will identify Army values, conflicts, and behaviors from the previous scenario.						
<b>Motivator</b>	This practical exercise is going to give you an opportunity to identify the Army values, conflicts, and behaviors of the squad in this scenario.						
<b>Learning Step/Activity</b>	<p><b>NOTE:</b> The instructor should inform the students of the following Terminal Learning Objective covered by this practical exercise.</p> <p>At the completion of this lesson, you [the student] will:</p> <table><tr><td><b>Action:</b></td><td>Apply leadership fundamentals to improve the ethical climate within an organization or unit.</td></tr><tr><td><b>Conditions:</b></td><td>As a small unit leader in a company or battalion level unit.</td></tr><tr><td><b>Standards:</b></td><td><p>Applied leadership fundamentals to improve the ethical climate within an organization or unit by:</p><ul style="list-style-type: none"><li>Identifying how a leader's ethical behavior influence's a squad's climate.</li><li>Applying ethical reasoning to choose a course of action that best represents Army values.</li></ul><p>IAW FM 22-100.</p></td></tr></table>	<b>Action:</b>	Apply leadership fundamentals to improve the ethical climate within an organization or unit.	<b>Conditions:</b>	As a small unit leader in a company or battalion level unit.	<b>Standards:</b>	<p>Applied leadership fundamentals to improve the ethical climate within an organization or unit by:</p> <ul style="list-style-type: none"><li>Identifying how a leader's ethical behavior influence's a squad's climate.</li><li>Applying ethical reasoning to choose a course of action that best represents Army values.</li></ul> <p>IAW FM 22-100.</p>
<b>Action:</b>	Apply leadership fundamentals to improve the ethical climate within an organization or unit.						
<b>Conditions:</b>	As a small unit leader in a company or battalion level unit.						
<b>Standards:</b>	<p>Applied leadership fundamentals to improve the ethical climate within an organization or unit by:</p> <ul style="list-style-type: none"><li>Identifying how a leader's ethical behavior influence's a squad's climate.</li><li>Applying ethical reasoning to choose a course of action that best represents Army values.</li></ul> <p>IAW FM 22-100.</p>						
<b>Safety Requirements</b>	None						
<b>Risk Assessment Level</b>	Low						
<b>Environmental Considerations</b>	None						

<b>Evaluation</b>	<hr/> <ul style="list-style-type: none"> <li>• Identify the Army values in the practical exercise as demonstrated by squad members.</li> <li>• Identify any conflicts between the Army values and the command climate and how the command climate contributed to the conflicts.</li> <li>• Identify the behaviors which support or conflict with the Army values.</li> </ul> <hr/>
<b>Instructional Lead-In</b>	<hr/> None <hr/>
<b>Resource Requirements</b>	<hr/> <b>Instructor Materials:</b> <ul style="list-style-type: none"> <li>• Paper, easel paper, and/or white board.</li> </ul> <b>Student Materials:</b> <ul style="list-style-type: none"> <li>• Pencils or pens.</li> <li>• Writing paper.</li> <li>• Advanced packet.</li> </ul> <hr/>
<b>Special Instructions</b>	<hr/> Inform the groups that they will each have to brief a portion of their findings. <hr/>
<b>Procedures</b>	<hr/> You have 10 minutes to complete the practical exercise and prepare to brief the other groups. Upon completion ask the other groups if they came up with different results and for any other feedback they may have. Finish by adding any points they may have overlooked from the solution sheet. <hr/>
<b>Feedback Requirements</b>	<hr/> Ask the other groups if they came up with different results and for any other feedback they may have. Finish by adding any points they may have overlooked from the solution sheet. <hr/>

## SOLUTION TO PRACTICAL EXERCISE 2

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**Instructor  
Use Only**

IN-CLASS PRACTICAL EXERCISE - DESERTION

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ARMY VALUE	CONFLICT	BEHAVIORS
Selfless Service and Respect	Lack of respect for soldier needs	SSG Kennedy and chain of command would not approve part-time work, even though they were aware of the expenses, and did not find options to resolve financial problems.
Integrity, Personal Courage	Moral weakness	Medical command failed to adequately support Medicaid application and failed to answer soldier's questions. SSG Kennedy and 1SG Cain failed to inform soldier of hardship discharge option.
Duty, Selfless-Service	Self-serving; business as usual	SSG Kennedy and 1SG Cain reminded soldier that his military duties were suffering. Command expected soldier's commitment to his military duties, but did not appear to be committed to helping the soldier. Also, when Army Community Services was unable to provide additional help, the command did not appear to provide the soldier with any other guidance.

No support for soldier needs--SSG Kennedy and 1SG Cain.

Command climate (SSG Kennedy and 1SG Cain) may have considered it a failure on their part if they could not retain this soldier who apparently had great potential. The scenario does not describe what support the command provided towards getting a compassionate reassignment, but the lack of action on their part may suggest there was little real support.

**NOTE:** Students may come up with additional examples. Accept any that are feasible.

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**INSTRUCTIONS: USE THE FOLLOWING SCENARIO TO COMPLETE PE-3**

**CASE STUDY**

**"SFC Sharp and the Secret Papers"**

You are newly assigned as the communications and electronics staff NCO of the 99th Infantry Battalion. You are replacing SFC Sharp, as a result of his selection for promotion to MSG and departure for a new assignment in two weeks.

SFC Sharp impressed you with the welcome you received and all he is doing to ensure that you get off to a good start. Your soldiers appear well trained and your admin sergeant, SSG Day, seems to know just about everything. You know you have big shoes to fill when SFC Sharp leaves because everyone seems to like and respect him. You've heard people say that he knows more about infantry operations than most infantrymen do.

SFC Sharp has cleaned out his desk and tells you to make yourself at home. Later this afternoon he will receive an award for his service to the 99th. His farewell party is this evening at the NCO club.

As you are setting up your things in your new desk, you discover some papers wedged between the wall and the side of the desk. You pull them out and discover that they are pages from a communication security book and marked "SECRET." You attach a cover sheet to them and go into the security vault to talk to SSG Day.

SSG Day checks the inventory and destruction certificates and discovers that SFC Sharp certified that the book these pages came from was destroyed two weeks ago. Both you and SSG Day search the vault and the outer office for any other pages, but you don't find any. SSG Day turns to you and says,

"I don't know about you, but the way I see this is that our section area is locked every evening. The civilian cleaning team doesn't even clean our area. Only our people ever come in here. From the look of these pages they've been behind that desk for some time. These pages are from an alternate communications security book and have not been used. They were to be destroyed two weeks ago, and as far as I'm concerned SFC Sharp destroyed them two weeks ago."

### PRACTICAL EXERCISE 3

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Title	CASE STUDY: SFC SHARP AND THE SECRET PAPERS
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Lesson Number/Title	L324 version 1 / ETHICAL BEHAVIOR
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Introduction	Sometimes simple situations can create an ethical dilemma that can evolve into a more serious problem if not dealt with properly.
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Motivator	This practical exercise assists you in gaining a better understanding of ethical behavior its value to you as leader.
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Terminal Learning Objective	<b>NOTE:</b> The instructor should inform the students of the following Terminal Learning Objective covered by this practical exercise.
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At the completion of this lesson, you [the student] will:

<b>Action:</b>	Apply leadership fundamentals to improve the ethical climate within an organization or unit.
<b>Conditions:</b>	As a small unit leader in a company or battalion level unit.
<b>Standards:</b>	Applied leadership fundamentals to improve the ethical climate within an organization or unit by: <ul style="list-style-type: none"><li>• Identifying how a leader's ethical behavior influence's a squad's climate.</li><li>• Applying ethical reasoning to choose a course of action that best represents Army values.</li></ul> IAW FM 22-100.

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Safety Requirements	None
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Risk Assessment Level	Low
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Environmental Considerations	None
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Evaluation	None
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<b>Instructional Lead-In</b>	None
<b>Resource Requirements</b>	<p><b>Instructor Materials:</b></p> <ul style="list-style-type: none"> <li>• Paper, easel paper, and/or white board.</li> </ul> <p><b>Student Materials:</b></p> <ul style="list-style-type: none"> <li>• Pencils or pens.</li> <li>• Writing paper.</li> </ul>
<b>Special Instructions</b>	<p>In resolving the ethical problem shown in the case study, you are to develop possible courses of action and the solution that best represents Army values.</p> <p>Keep in mind; however, that there may be several correct solutions to the problem.</p> <p>Arriving at a different solution does not necessarily mean that your solution is wrong.</p>
<b>Procedures</b>	<ul style="list-style-type: none"> <li>• Break class into 2 or 3 groups (not more than 6 students in each group). Inform the groups that they will each have to brief a portion of their findings. Give groups 10 minutes to arrive at their solution.</li> <li>• Give instructor guidance to students for analyzing the in-class practical exercise.</li> <li>• At the end of the 10 minutes, have each group brief their group's solution. Finish by adding any points they may have overlooked from the solution sheet (Instructor use only).</li> </ul>
<b>Feedback Requirements</b>	None



## SOLUTION FOR PRACTICAL EXERCISE 3

**Title:** SFC Sharp and the Secret Papers

In resolving the ethical problem shown in the case study, you are to develop possible courses of action and the solution that best represents Army values. Keep in mind, however, that there may be several correct solutions to the problem. Arriving at a different solution does not necessarily mean that your solution is wrong.

1. Define the problem.
  - a. What is the problem?
    - The basic problem is the pressure you have to be dishonest and not report the breach of security.
  - b. Identify the ethical questions.
    - Should I report the incident immediately?
    - What is my duty?
    - Is my loyalty owed to SFC Sharp or the unit?
    - How should I proceed?
2. Know the rules:
  - Identify applicable laws, regulations, guidelines, and professional obligations.
  - You must thoroughly understand the situation and feel confident about your decision.
3. Develop and evaluate courses of action:
  - a. Do nothing as SSG Day suggests.
  - b. Inform the chain of command before SFC Sharp leaves.
  - c. Inform the chain of command after SFC Sharp leaves.
  - d. Go to SFC Sharp before he leaves and ask him how he would like to handle this problem.
4. Choose the course that best represents Army values.
  - a. Doing nothing may violate your integrity.
  - b. Going to the chain of command without approaching SFC Sharp shows disloyalty toward him.
  - c. Informing the chain of command after SFC Sharp leaves may indicate your lack of personal courage and demonstrates disloyalty to SFC Sharp since he is not there to provide his side of the story.
  - d. By approaching SFC Sharp first, you give him the benefit of the doubt and attempt to resolve the problem at the lowest level, and you are also able to adhere to the values and guiding principles you have decided are important to this situation. Even if SFC Sharp refuses to do anything, you have adhered to the values and guiding principles you have determined are relevant to this ethical problem. You can then inform his chain of command without compromising those values and principles.

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## HANDOUTS FOR LESSON 1: L324 version 1

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This appendix contains the items listed in this table--

<b>Title/Synopsis</b>	<b>Page</b>
SH-1, Advance Sheet	SH-1-1
SH-2, Extracted material from FM 22-100	SH-2-1

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## Student Handout 1

### Advance Sheet

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#### Lesson Hours

This lesson consists of forty minutes of small group instruction and three practical exercises totaling one hour 10 minutes.

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#### Overview

As a squad leader in an organization, this lesson will familiarize you with analyzing the ethical climate in the squad and then develop a plan to sustain or improve it. By using practical exercises and class readings you will identify behaviors, which are inconsistent with Army values. You will analyze the Army values and operational values in a practical exercise. You will take action to create a positive ethical climate and identify at least two behavioral values of the command climate to change and determine leadership behaviors to improve the ethical climate. The assessment will include how you will change these behavioral values to support Army values and then determine leadership behaviors that improve the squads ethical climate.

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#### Learning Objective

Terminal Learning Objective (TLO).

<b>Action:</b>	Apply leadership fundamentals to improve the ethical climate within an organization or unit.
<b>Conditions:</b>	As a small unit leader in a company or battalion level unit.
<b>Standards:</b>	<p>Applied leadership fundamentals to improve the ethical climate within an organization or unit by:</p> <ul style="list-style-type: none"><li>• Identifying how a leader's ethical behavior influence's a squad's climate.</li><li>• Applying ethical reasoning to choose a course of action that best represents Army values.</li></ul> <p>IAW FM 22-100.</p>

#### LS/A

- (1). Review Homework Reading.
  - (2). Army Values.
  - (3). Practical Exercise/Solution
  - (4). Army Values
  - (5). Practical Exercise/Solution
  - (6). Practical Exercise/Solution
-

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**Assignment**

The student assignment for this lesson are:

- Read FM 22-100, Chap 2, pp 2-1 thru 2-28, Chap 3, pp 3-1 thru 3-19, Chap 4, pp 4-8 thru 4-10, Chap 5, pp 5-23 thru 5-25, and App D, pp D-1 thru D-5.
- 

**Additional Subject  
Area Resources**

None

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**Bring to Class**

- All reference material.
  - Pen or pencil.
  - Writing paper.
-

## Student Handout 2

### Extracted Material from FM 22-100

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This student handout contains 58 pages of extracted text from FM 22-100:

Chap 2, p 2-1 thru 2-28  
Chap 3, p 3-1 thru 3-19  
Chap 4, p 4-8 thru 4-10  
Chap 5, p 5-23 thru 5-25  
App D, p D-1 thru D-5

**Disclaimer:** The developer downloaded the text in this student handout from the Reimer Digital Library. The text may contain passive voice, misspelling grammatical errors, etc., and may not conform to the Army Writing Style Program.

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### RECOVERABLE PUBLICATION

YOU RECEIVED THIS DOCUMENT IN A DAMAGE-FREE CONDITION. DAMAGE IN ANY WAY TO INCLUDE HIGHLIGHTING, PENCIL MARKS, OR MISSING PAGES WILL SUBJECT YOU TO PECUNIARY LIABILITY (STATEMENT OF CHARGES, CASH COLLECTION ETC.) TO RECOVER PRINTING COSTS.

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## CHAPTER 2

# The Leader and Leadership: What the Leader Must Be, Know, and Do

*I do solemnly swear (or affirm) that I will support and defend the Constitution of the United States against all enemies, foreign and domestic; that I will bear true faith and allegiance to the same; and that I will obey the orders of the President of the United States and the orders of the officers appointed over me, according to regulations and the Uniform Code of Military Justice. So help me God.*

Oath of Enlistment

*I [full name], having been appointed a [rank] in the United States Army, do solemnly swear (or affirm) that I will support and defend the Constitution of the United States against all enemies, foreign and domestic; that I will bear true faith and allegiance to the same; that I take this obligation freely, without any mental reservation or purpose of evasion, and that I will well and faithfully discharge the duties of the office upon which I am about to enter. So help me God.*

Oath of office taken by commissioned officers and DA civilians

2-1. Beneath the Army leadership framework shown in Figure 1-1, 30 words spell out your job as a leader: **Leaders of character and competence act to achieve excellence by developing a force that can fight and win the nation's wars and serve the common defense of the United States.** There's a lot in that sentence. This chapter looks at it in detail.

2-2. Army leadership doctrine addresses what makes leaders of character and competence and what makes leadership. Figure 2-1 highlights these values and attributes. Remember from Chapter 1 that character describes what leaders must BE; competence refers to what leaders must KNOW; and action is what leaders must DO. Although this chapter discusses these concepts one at a time, they don't stand alone; they are closely connected and together make up who you seek to be (a leader of character and competence) and what you need to do (leadership).

<b>CHARACTER: WHAT A LEADER</b>	
<b>MUST BE</b> .....	<b>2-2</b>
Army Values .....	<b>2-2</b>
Leader Attributes .....	<b>2-10</b>
Focus on Character .....	<b>2-19</b>
<b>COMPETENCE: WHAT A LEADER</b>	
<b>MUST KNOW</b> .....	<b>2-24</b>
<b>LEADERSHIP: WHAT A</b>	
<b>LEADER MUST DO</b> .....	<b>2-26</b>
Influencing .....	<b>2-27</b>
Operating .....	<b>2-27</b>
Improving .....	<b>2-28</b>
<b>SUMMARY</b> .....	<b>2-28</b>

## SECTION I

### CHARACTER: WHAT A LEADER MUST BE

*Everywhere you look—on the fields of athletic competition, in combat training, operations, and in civilian communities—soldiers are doing what is right.*

Former Sergeant Major of the Army  
Julius W. Gates

2-3. Character—who you are—contributes significantly to how you act. Character helps you know what’s right and do what’s right, all the time and at whatever the cost. Character is made up of two interacting parts: values and attributes. Stephen Ambrose, speaking about the Civil War, says that “at the pivotal point in the

war it was always the character of individuals that made the difference.” Army leaders must be those critical individuals of character themselves and in turn develop character in those they lead. (Appendix E discusses character development.)

### ARMY VALUES



Figure 2-1. Army Values

2-4. Your attitudes about the worth of people, concepts, and other things describe your values. Everything begins there. Your subordinates enter the Army with their own values, developed in childhood and nurtured through experience. All people are all shaped by what they’ve seen, what they’ve learned, and whom they’ve met.

But when soldiers and DA civilians take the oath, they enter an institution guided by Army values. These are more than a system of rules. They’re not just a code tucked away in a drawer or a list in a dusty book. These values tell you what you need to be, every day, in every action you take. Army values form the very identity of the Army, the solid rock upon which everything else stands, especially in combat. They are the glue that binds together the members of a noble profession. As a result, the whole is much greater than the sum of its parts. Army values are nonnegotiable: they apply to everyone and in every situation throughout the Army.

2-5. Army values remind us and tell the rest of the world—the civilian government we serve, the nation we protect, even our enemies—who we are and what we stand for. The trust soldiers and DA civilians have for each other and the trust the American people have in us depends on how well we live up to Army values. They are the fundamental building blocks that enable us to discern right from wrong in any situation. Army values are consistent; they support one another. You can’t follow one value and ignore another.

2-6. Here are the Army values that guide you, the leader, and the rest of the Army. They form the acronym LDRSHIP:

Loyalty
Duty
Respect
Selfless Service
Honor
Integrity
Personal Courage

2-7. The following discussions can help you understand Army values, but understanding is only the first step. As a leader, you must not only understand them; you must believe in them, model them in your own actions, and teach others to accept and live by them.

### LOYALTY

***Bear true faith and allegiance to the US Constitution, the Army, your unit, and other soldiers.***

*Loyalty is the big thing, the greatest battle asset of all. But no man ever wins the loyalty of troops by preaching loyalty. It is given to him as he proves his possession of the other virtues.*

Brigadier General S. L. A. Marshall  
*Men Against Fire*

2-8. Since before the founding of the republic, the Army has respected its subordination to its civilian political leaders. This subordination is fundamental to preserving the liberty of all Americans. You began your Army career by swearing allegiance to the Constitution, the basis of our government and laws. If you've never

read it or if it has been a while, the Constitution is in Appendix F. Pay particular attention to Article I, Section 8, which outlines congressional responsibilities regarding the armed forces, and Article II, Section 2, which designates the president as commander in chief. Beyond your allegiance to the Constitution, you have an obligation to be faithful to the Army—the institution and its people—and to your unit or organization. Few examples illustrate loyalty to country and institution as well as the example of GEN George Washington in 1782.

2-9. GEN Washington's example shows how the obligation to subordinates and peers fits in the context of loyalty to the chain of command and the institution at large. As commander of the Continental Army, GEN Washington was obligated to see that his soldiers were taken care of. However, he also was obligated to ensure that the new nation remained secure and that the Continental Army remained able to fight if necessary. If the Continental Army had marched on the seat of government, it may well have destroyed the nation by undermining the law that held it together. It also would have destroyed the Army as an institution by destroying the basis for the authority under which it served. GEN Washington realized these things and acted based on his knowledge. Had he done nothing else, this single act would have been enough to establish GEN George Washington as the father of his country.

### GEN Washington at Newburgh

Following its victory at Yorktown in 1781, the Continental Army set up camp at Newburgh, New York, to wait for peace with Great Britain. The central government formed under the Articles of Confederation proved weak and unwilling to supply the Army properly or even pay the soldiers who had won the war for independence. After months of waiting many officers, angry and impatient, suggested that the Army march on the seat of government in Philadelphia, Pennsylvania, and force Congress to meet the Army's demands. One colonel even suggested that GEN Washington become King George I.

Upon hearing this, GEN Washington assembled his officers and publicly and emphatically rejected the suggestion. He believed that seizing power by force would have destroyed everything for which the Revolutionary War had been fought. By this action, GEN Washington firmly established an enduring precedent: America's armed forces are subordinate to civilian authority and serve the democratic principles that are now enshrined in the Constitution. GEN Washington's action demonstrated the loyalty to country that the Army must maintain in order to protect the freedom enjoyed by all Americans.

2-10. Loyalty is a two-way street: you should not expect loyalty without being prepared to give it as well. Leaders can neither demand loyalty nor win it from their people by talking about it. The loyalty of your people is a gift they give you when, and only when, you deserve it—when you train them well, treat them fairly, and live by the concepts you talk about. Leaders who are loyal to their subordinates never let them be misused.

2-11. Soldiers fight for each other—loyalty is commitment. Some of you will encounter the most important way of earning this loyalty: leading your soldiers well in combat. There's no loyalty fiercer than that of soldiers who trust their leader to take them through the dangers of combat. However, loyalty extends to all members of an organization—to your superiors and subordinates, as well as your peers.

2-12. Loyalty extends to all members of all components of the Army. The reserve components—Army National Guard and Army Reserve—play an increasingly active role in the Army's mission. Most DA civilians will not be called upon to serve in combat theaters, but their contributions to mission accomplishment are nonetheless vital. As an Army leader, you'll serve throughout your career with soldiers of the active and reserve components as well as

DA civilians. All are members of the same team, loyal to one another.

## **DUTY**

### ***Fulfill your obligations.***

*The essence of duty is acting in the absence of orders or direction from others, based on an inner sense of what is morally and professionally right....*

General John A. Wickham Jr.  
Former Army Chief of Staff

2-13. Duty begins with everything required of you by law, regulation, and orders; but it includes much more than that. Professionals do their work not just to the minimum standard, but to the very best of their ability. Soldiers and DA civilians commit to excellence in all aspects of their professional responsibility so that when the job is done they can look back and say, "I couldn't have given any more."

2-14. Army leaders take the initiative, figuring out what needs to be done before being told what to do. What's more, they take full responsibility for their actions and those of their subordinates. Army leaders never shade the truth to make the unit look good—or even to make their subordinates feel good. Instead, they follow their higher duty to the Army and the nation.

### **Duty in Korea**

CPT Viola B. McConnell was the only Army nurse on duty in Korea in July of 1950. When hostilities broke out, she escorted nearly 700 American evacuees from Seoul to Japan aboard a freighter designed to accommodate only 12 passengers. CPT McConnell assessed priorities for care of the evacuees and worked exhaustively with a medical team to care for them. Once in Japan, she requested reassignment back to Korea. After all she had already done, CPT McConnell returned to Taejon to care for and evacuate wounded soldiers of the 24th Infantry Division.

2-15. CPT McConnell understood and fulfilled her duty to the Army and to the soldiers she supported in ways that went beyond her medical training. A leader's duty is to take charge, even in unfamiliar circumstances. But duty isn't reserved for special occasions. When a platoon sergeant tells a squad leader to inspect weapons, the squad leader has fulfilled his

minimum obligation when he has checked the weapons. He's done what he was told to do. But if the squad leader finds weapons that are not clean or serviced, his sense of duty tells him to go beyond the platoon sergeant's instructions. The squad leader does his duty when he corrects the problem and ensures the weapons are up to standard.

2-16. In extremely rare cases, you may receive an illegal order. Duty requires that you refuse to obey it. You have no choice but to do what's ethically and legally correct. Paragraphs 2-97 through 2-99 discuss illegal orders.

## RESPECT

### ***Treat people as they should be treated.***

*The discipline which makes the soldiers of a free country reliable in battle is not to be gained by harsh or tyrannical treatment. On the contrary, such treatment is far more likely to destroy than to make an army. It is possible to impart instruction and to give commands in such manner and such a tone of voice to inspire in the soldier no feeling but an intense desire to obey, while the opposite manner and tone of voice cannot fail to excite strong resentment and a desire to disobey. The one mode or the other of dealing with subordinates springs from a corresponding spirit in the breast of the commander. He who feels the respect which is due to others cannot fail to inspire in them regard for himself, while he who feels, and hence manifests, disrespect toward others, especially his inferiors, cannot fail to inspire hatred against himself.*

Major General John M. Schofield  
Address to the United States Corps of Cadets  
11 August 1879

2-17. Respect for the individual forms the basis for the rule of law, the very essence of what makes America. In the Army, respect means recognizing and appreciating the inherent dignity and worth of all people. This value reminds you that your people are your greatest resource. Army leaders honor everyone's individual worth by treating all people with dignity and respect.

2-18. As America becomes more culturally diverse, Army leaders must be aware that they will deal with people from a wider range of ethnic, racial, and religious backgrounds. Effective leaders are tolerant of beliefs different from their own as long as those beliefs don't conflict with Army values, are not illegal, and are not unethical. As an Army leader, you need to avoid misunderstandings arising from cultural

differences. Actively seeking to learn about people and cultures different from your own can help you do this. Being sensitive to other cultures can also aid you in counseling your people more effectively. You show respect when you seek to understand your people's background, see things from their perspective, and appreciate what's important to them.

2-19. As an Army leader, you must also foster a climate in which everyone is treated with dignity and respect regardless of race, gender, creed, or religious belief. Fostering this climate begins with your example: how you live Army values shows your people how they should live them. However, values training is another major contributor. Effective training helps create a common understanding of Army values and the standards you expect. When you conduct it as part of your regular routine—such as during developmental counseling sessions—you reinforce the message that respect for others is part of the character of every soldier and DA civilian. Combined with your example, such training creates an organizational climate that promotes consideration for others, fairness in all dealings, and equal opportunity. In essence, Army leaders treat others as they wish to be treated.

2-20. As part of this consideration, leaders create an environment in which subordinates are challenged, where they can reach their full potential and be all they can be. Providing tough training doesn't demean subordinates; in fact, building their capabilities and showing faith in their potential is the essence of respect. Effective leaders take the time to learn what their subordinates want to accomplish. They advise their people on how they can grow, personally and professionally. Not all of your subordinates will succeed equally, but they all deserve respect.

2-21. Respect is also an essential component for the development of disciplined, cohesive, and effective warfighting teams. In the deadly confusion of combat, soldiers often overcome incredible odds to accomplish the mission and protect the lives of their comrades. This spirit of selfless service and duty is built on a soldier's personal trust and regard for fellow soldiers. A leader's willingness to tolerate discrimination



or harassment on any basis, or a failure to cultivate a climate of respect, eats away at this trust and erodes unit cohesion. But respect goes beyond issues of discrimination and harassment; it includes the broader issue of civility, the way people treat each other and those they come in contact with. It involves being sensitive to diversity and one's own behaviors that others may find insensitive, offensive, or abusive. Soldiers and DA civilians, like their leaders, treat everyone with dignity and respect.

### **SELFLESS SERVICE**

***Put the welfare of the nation, the Army, and subordinates before your own.***

*The nation today needs men who think in terms of service to their country and not in terms of their country's debt to them.*

General of the Army Omar N. Bradley

2-22. You have often heard the military referred to as "the service." As a member of the Army, you serve the United States. Selfless service means doing what's right for the nation, the Army, your organization, and your people—and putting these responsibilities above your own interests. The needs of the Army and the nation come first. This doesn't mean that you neglect your family or yourself; in fact, such neglect weakens a leader and can cause the Army more harm than good. Selfless service doesn't mean that you can't have a strong ego, high self-esteem, or even healthy ambition. Rather, selfless service means that you don't make decisions or take actions that help your image or your career but hurt others or sabotage the mission. The selfish superior claims

credit for work his subordinates do; the selfless leader gives credit to those who earned it. The Army can't function except as a team, and for a team to work, the individual has to give up self-interest for the good of the whole.

2-23. Soldiers are not the only members of the Army who display selfless service. DA civilians display this value as well. Then Army Chief of Staff, Gordon R. Sullivan assessed the DA civilian contribution to Operation Desert Storm this way:

*Not surprisingly, most of the civilians deployed to Southwest Asia volunteered to serve there. But the civilian presence in the Gulf region meant more than moral support and filling in for soldiers. Gulf War veterans say that many of the combat soldiers could owe their lives to the DA civilians who helped maintain equipment by speeding up the process of getting parts and other support from 60 logistics agencies Army-wide.*

2-24. As GEN Sullivan's comment indicates, selfless service is an essential component of teamwork. Team members give of themselves so that the team may succeed. In combat some soldiers give themselves completely so that their comrades can live and the mission can be accomplished. But the need for selflessness isn't limited to combat situations. Requirements for individuals to place their own needs below those of their organization can occur during peacetime as well. And the requirement for selflessness doesn't decrease with one's rank; it increases. Consider this example of a soldier of long service and high rank who demonstrated the value of selfless service.

### **GA Marshall Continues to Serve**

GA George C. Marshall served as Army Chief of Staff from 1939 until 1945. He led the Army through the buildup, deployment, and worldwide operations of World War II. Chapter 7 outlines some of his contributions to the Allied victory. In November 1945 he retired to a well-deserved rest at his home in Leesburg, Virginia. Just six days later President Harry S Truman called on him to serve as Special Ambassador to China. From the White House President Truman telephoned GA Marshall at his home: "General, I want you to go to China for me," the president said. "Yes, Mr. President," GA Marshall replied. He then hung up the telephone, informed his wife of the president's request and his reply, and prepared to return to government service.

### GA Marshall Continues to Serve (continued)

President Truman didn't appoint GA Marshall a special ambassador to reward his faithful service; he appointed GA Marshall because there was a tough job in China that needed to be done. The Chinese communists under Mao Tse-tung were battling the Nationalists under Chiang Kai-shek, who had been America's ally against the Japanese; GA Marshall's job was to mediate peace between them. In the end, he was unsuccessful in spite of a year of frustrating work; the scale of the problem was more than any one person could handle. However, in January 1947 President Truman appointed GA Marshall Secretary of State. The Cold War had begun and the president needed a leader Americans trusted. GA Marshall's reputation made him the one; his selflessness led him to continue to serve.

2-25. When faced with a request to solve a difficult problem in an overseas theater after six years of demanding work, GA Marshall didn't say, "I've been in uniform for over thirty years, we just won a world war, and I think I've done enough." Instead, he responded to his commander in chief the only way a professional could. He said yes, took care of his family, and prepared to accomplish the mission. After a year overseas, when faced with a similar question, he gave the same answer. GA Marshall always placed his country's interests first and his own second. Army leaders who follow his example do the same.

### HONOR

#### *Live up to all the Army values.*

*What is life without honor? Degradation is worse than death.*

Lieutenant General Thomas J. "Stonewall" Jackson

2-26. Honor provides the "moral compass" for character and personal conduct in the Army. Though many people struggle to define the term, most recognize instinctively those with a keen sense of right and wrong, those who live such that their words and deeds are above reproach. The expression "honorable person," therefore, refers to both the character traits an individual actually possesses and the fact that the community recognizes and respects them.

2-27. Honor holds Army values together while at the same time being a value itself. Together, Army values describe the foundation essential to develop leaders of character. Honor means demonstrating an understanding of what's right and taking pride in the community's

acknowledgment of that reputation. Military ceremonies recognizing individual and unit achievement demonstrate and reinforce the importance the Army places on honor.

2-28. For you as an Army leader, demonstrating an understanding of what's right and taking pride in that reputation means this: **Live up to all the Army values.** Implicitly, that's what you promised when you took your oath of office or enlistment. You made this promise publicly, and the standards—Army values—are also public. To be an honorable person, you must be true to your oath and live Army values in all you do. Living honorably strengthens Army values, not only for yourself but for others as well: all members of an organization contribute to the organization's climate (which you'll read about in Chapter 3). By what they do, people living out Army values contribute to a climate that encourages all members of the Army to do the same.

2-29. How you conduct yourself and meet your obligations defines who you are as a person; how the Army meets the nation's commitments defines the Army as an institution. For you as an Army leader, honor means putting Army values above self-interest, above career and comfort. For all soldiers, it means putting Army values above self-preservation as well. This honor is essential for creating a bond of trust among members of the Army and between the Army and the nation it serves. Army leaders have the strength of will to live according to Army values, even though the temptations to do otherwise are strong, especially in the face of personal danger. The military's highest award is the Medal of Honor. Its recipients didn't do

just what was required of them; they went beyond the expected, above and beyond the call of duty. Some gave their own lives so that others

could live. It's fitting that the word we use to describe their achievements is "honor."

### MSG Gordon and SFC Shughart in Somalia

During a raid in Mogadishu in October 1993, MSG Gary Gordon and SFC Randall Shughart, leader and member of a sniper team with Task Force Ranger in Somalia, were providing precision and suppressive fires from helicopters above two helicopter crash sites. Learning that no ground forces were available to rescue one of the downed aircrews and aware that a growing number of enemy were closing in on the site, MSG Gordon and SFC Shughart volunteered to be inserted to protect their critically wounded comrades. Their initial request was turned down because of the danger of the situation. They asked a second time; permission was denied. Only after their third request were they inserted.

MSG Gordon and SFC Shughart were inserted one hundred meters south of the downed chopper. Armed only with their personal weapons, the two NCOs fought their way to the downed fliers through intense small arms fire, a maze of shanties and shacks, and the enemy converging on the site. After MSG Gordon and SFC Shughart pulled the wounded from the wreckage, they established a perimeter, put themselves in the most dangerous position, and fought off a series of attacks. The two NCOs continued to protect their comrades until they had depleted their ammunition and were themselves fatally wounded. Their actions saved the life of an Army pilot.

2-30. No one will ever know what was running through the minds of MSG Gordon and SFC Shughart as they left the comparative safety of their helicopter to go to the aid of the downed aircrew. The two NCOs knew there was no ground rescue force available, and they certainly knew there was no going back to their helicopter. They may have suspected that things would turn out as they did; nonetheless, they did what they believed to be the right thing. They acted based on Army values, which they had clearly made their own: *loyalty* to their fellow soldiers; the *duty* to stand by them, regardless of the circumstances; the *personal courage* to act, even in the face of great danger; *selfless service*, the willingness to give their all. MSG Gary I. Gordon and SFC Randall D. Shughart lived Army values to the end; they were posthumously awarded Medals of Honor.

### INTEGRITY

***Do what's right—legally and morally.***

*The American people rightly look to their military leaders not only to be skilled in the*

*technical aspects of the profession of arms, but also to be men of integrity.*

General J. Lawton Collins  
Former Army Chief of Staff

2-31. People of integrity consistently act according to principles—not just what might work at the moment. Leaders of integrity make their principles known and consistently act in accordance with them. The Army requires leaders of integrity who possess high moral standards and are honest in word and deed. Being honest means being truthful and upright all the time, despite pressures to do otherwise. Having integrity means being both morally complete and true to yourself. As an Army leader, you're honest to yourself by committing to and consistently living Army values; you're honest to others by not presenting yourself or your actions as anything other than what they are. Army leaders say what they mean and do what they say. If you can't accomplish a mission, inform your chain of command. If you inadvertently pass on bad information, correct it as soon as you find out it's wrong. People of integrity do the right thing not because it's convenient or because



they have no choice. They choose the right thing because their character permits no less. Conducting yourself with integrity has three parts:

- Separating what's right from what's wrong.
- Always acting according to what you know to be right, even at personal cost.
- Saying openly that you're acting on your understanding of right versus wrong.

2-32. Leaders can't hide what they do: that's why you must carefully decide how you act. As an Army leader, you're always on display. If you want to instill Army values in others, you must internalize and demonstrate them yourself. Your personal values may and probably do extend beyond the Army values, to include such things as political, cultural, or religious beliefs. However, if you're to be an Army leader *and* a person of integrity, these values must reinforce, not contradict, Army values.

2-33. Any conflict between your personal values and Army values must be resolved before you can become a morally complete Army leader. You may need to consult with someone whose values and judgment you respect. You would not be the first person to face this issue, and as a leader, you can expect others to come to you, too. Chapter 5 contains the story of how SGT Alvin York and his leaders confronted and resolved a conflict between SGT York's personal values and Army values. Read it and reflect on it. If one of your subordinates asks you to help resolve a similar conflict, you must be prepared by being sure your own values align with Army values. Resolving such conflicts is necessary to become a leader of integrity.

### PERSONAL COURAGE

#### *Face fear, danger, or adversity (physical or moral).*

*The concept of professional courage does not always mean being as tough as nails either. It also suggests a willingness to listen to the soldiers' problems, to go to bat for them in a tough situation, and it means knowing just how*

*far they can go. It also means being willing to tell the boss when he's wrong.*

Former Sergeant Major of the Army William Connelly

2-34. Personal courage isn't the absence of fear; rather, it's the ability to put fear aside and do what's necessary. It takes two forms, physical and moral. Good leaders demonstrate both.

2-35. Physical courage means overcoming fears of bodily harm and doing your duty. It's the bravery that allows a soldier to take risks in combat in spite of the fear of wounds or death. Physical courage is what gets the soldier at Airborne School out the aircraft door. It's what allows an infantryman to assault a bunker to save his buddies.

2-36. In contrast, moral courage is the willingness to stand firm on your values, principles, and convictions—even when threatened. It enables leaders to stand up for what they believe is right, regardless of the consequences. Leaders who take responsibility for their decisions and actions, even when things go wrong, display moral courage. Courageous leaders are willing to look critically inside themselves, consider new ideas, and change what needs changing.

2-37. Moral courage is sometimes overlooked, both in discussions of personal courage and in the everyday rush of business. A DA civilian at a meeting heard *courage* mentioned several times in the context of combat. The DA civilian pointed out that consistent moral courage is every bit as important as momentary physical courage. Situations requiring physical courage are rare; situations requiring moral courage can occur frequently. Moral courage is essential to living the Army values of integrity and honor every day.

2-38. Moral courage often expresses itself as candor. Candor means being frank, honest, and sincere with others while keeping your words free from bias, prejudice, or malice. Candor means calling things as you see them, even when it's uncomfortable or you think it might be better for you to just keep quiet. It means not allowing your feelings to affect what you say about a person or situation. A candid company commander calmly points out the first sergeant's mistake. Likewise, the candid first

sergeant respectfully points out when the company commander's pet project isn't working and they need to do something different. For trust to exist between leaders and subordinates, candor is essential. Without it, subordinates won't know if they've met the standard and leaders won't know what's going on.

2-39. In combat physical and moral courage may blend together. The right thing to do may not only be unpopular, but dangerous as well. Situations of that sort reveal who's a leader of character and who's not. Consider this example.

### WO1 Thompson at My Lai

Personal courage—whether physical, moral, or a combination of the two—may be manifested in a variety of ways, both on and off the battlefield. On March 16, 1968 Warrant Officer (WO1) Hugh C. Thompson Jr. and his two-man crew were on a reconnaissance mission over the village of My Lai, Republic of Vietnam. WO1 Thompson watched in horror as he saw an American soldier shoot an injured Vietnamese child. Minutes later, when he observed American soldiers advancing on a number of civilians in a ditch, WO1 Thompson landed his helicopter and questioned a young officer about what was happening on the ground. Told that the ground action was none of his business, WO1 Thompson took off and continued to circle the area.

When it became apparent that the American soldiers were now firing on civilians, WO1 Thompson landed his helicopter between the soldiers and a group of 10 villagers who were headed for a homemade bomb shelter. He ordered his gunner to train his weapon on the approaching American soldiers and to fire if necessary. Then he personally coaxed the civilians out of the shelter and airlifted them to safety. WO1 Thompson's radio reports of what was happening were instrumental in bringing about the cease-fire order that saved the lives of more civilians. His willingness to place himself in physical danger in order to do the morally right thing is a sterling example of personal courage.

## LEADER ATTRIBUTES

*Leadership is not a natural trait, something inherited like the color of eyes or hair...Leadership is a skill that can be studied, learned, and perfected by practice.*

*The Noncom's Guide, 1962*



Figure 2-2. Leader Attributes

2-40. Values tell us part of what the leader must BE; the other side of what a leader must BE are the attributes listed in Figure 2-2. Leader attributes influence leader actions; leader actions, in turn, always influence the unit or organization. As an example, if you're physically fit, you're more likely to inspire your subordinates to be physically fit.

2-41. Attributes are a person's fundamental qualities and characteristics. People are born with some attributes; for instance, a person's genetic code determines eye, hair, and skin color. However, other attributes—including leader attributes—are learned and can be changed. Leader attributes can be characterized as mental, physical, and emotional. Successful leaders work to improve those attributes.

## MENTAL ATTRIBUTES

2-42. The mental attributes of an Army leader include will, self-discipline, initiative, judgment, self-confidence, intelligence, and cultural awareness.

### Will

*The will of soldiers is three times more important than their weapons.*

Colonel Dandridge M. “Mike” Malone  
*Small Unit Leadership: A Commonsense Approach*

2-43. Will is the inner drive that compels soldiers and leaders to keep going when they are exhausted, hungry, afraid, cold, and wet—when it would be easier to quit. Will enables soldiers to press the fight to its conclusion. Yet will without competence is useless. It’s not enough that soldiers are willing, or even eager, to fight; they must know how to fight. Likewise, soldiers who have competence but no will don’t fight. The leader’s task is to develop a winning spirit by building their subordinates’ will as well as their skill. That begins with hard, realistic training.

2-44. Will is an attribute essential to all members of the Army. Work conditions vary among branches and components, between those deployed and those closer to home. In the Army, personal attitude must prevail over any adverse external conditions. All members of the Army—active, reserve, and DA civilian—will experience situations when it would be easier to quit rather than finish the task at hand. At those times, everyone needs that inner drive to press on to mission completion.

2-45. It’s easy to talk about will when things go well. But the test of your will comes when things go badly—when events seem to be out of control, when you think your bosses have forgotten you, when the plan doesn’t seem to work and it looks like you’re going to lose. It’s then that you must draw on your inner reserves to persevere—to do your job until there’s nothing left to do it with and then to remain faithful to your people, your organization, and your country. The story of the American and Filipino stand on the Bataan Peninsula and their subsequent captivity is one of individuals, leaders, and units deciding to remain true to the end—and living and dying by that decision.

### The Will to Persevere

On 8 December 1941, hours after the attack on Pearl Harbor, Japanese forces attacked the American and Filipino forces defending the Philippines. With insufficient combat power to launch a counterattack, GEN Douglas MacArthur, the American commander, ordered his force to consolidate on the Bataan Peninsula and hold as long as possible. Among his units was the 12th Quartermaster (QM) Regiment, which had the mission of supporting the force.

Completely cut off from outside support, the Allies held against an overwhelming Japanese army for the next three and a half months. Soldiers of the 12th QM Regiment worked in the debris of warehouses and repair shops under merciless shelling and bombing, fighting to make the meager supplies last. They slaughtered water buffaloes for meat, caught fish with traps they built themselves, and distilled salt from sea water. In coffeepots made from oil drums they boiled and reboiled the tiny coffee supply until the grounds were white. As long as an ounce of food existed, it was used. In the last desperate days, they resorted to killing horses and pack mules. More important, these supporters delivered rations to the foxholes on the front lines—fighting their way in when necessary. After Bataan and Corregidor fell, members of the 12th QM Regiment were prominent among the 7,000 Americans and Filipinos who died on the infamous Bataan Death March.

Though captured, the soldiers of the 12th QM Regiment maintained their will to resist. 1LT Beulah Greenwalt, a nurse assigned to the 12th QM Regiment, personified this will. Realizing the regimental colors represent the soul of a regiment and that they could serve as a symbol for resistance, 1LT Greenwalt assumed the mission of protecting the colors from the Japanese. She carried the colors to the prisoner of war (PW) camp in Manila by wrapping them around her

### The Will to Persevere (continued)

shoulders and convincing her Japanese captors that they were “only a shawl.” For the next 33 months 1LT Greenwalt and the remains of the regiment remained PWs, living on starvation diets and denied all comforts. But through it all, 1LT Greenwalt held onto the flag. The regimental colors were safeguarded: the soul of the regiment remained with the regiment, and its soldiers continued to resist.

When the war ended in 1945 and the surviving PWs were released, 1LT Greenwalt presented the colors to the regimental commander. She and her fellow PWs had persevered. They had resisted on Bataan until they had no more means to resist. They continued to resist through three long years of captivity. They decided on Bataan to carry on, and they renewed that decision daily until they were liberated. The 12th QM Regiment—and the other units that had fought and resisted with them—remained true to themselves, the Army, and their country. Their will allowed them to see events through to the end.

### Self-Discipline

*The core of a soldier is moral discipline. It is intertwined with the discipline of physical and mental achievement. Total discipline overcomes adversity, and physical stamina draws on an inner strength that says “drive on.”*

Former Sergeant Major of the Army  
William G. Bainbridge

2-46. Self-disciplined people are masters of their impulses. This mastery comes from the habit of doing the right thing. Self-discipline allows Army leaders to do the right thing regardless of the consequences for them or their subordinates. Under the extreme stress of combat, you and your team might be cut off and alone, fearing for your lives, and having to act without guidance or knowledge of what’s going on around you. Still, you—the leader—must think clearly and act reasonably. Self-discipline is the key to this kind of behavior.

2-47. In peacetime, self-discipline gets the unit out for the hard training. Self-discipline makes the tank commander demand another run-through of a battle drill if the performance doesn’t meet the standard—even though everyone is long past ready to quit. Self-discipline doesn’t mean that you never get tired or discouraged—after all, you’re only human. It does mean that you do what needs to be done regardless of your feelings.

### Initiative

*The leader must be an aggressive thinker—always anticipating and analyzing.*

*He must be able to make good assessments and solid tactical judgments.*

Brigadier General John. T. Nelson II

2-48. Initiative is the ability to be a self-starter—to act when there are no clear instructions, to act when the situation changes or when the plan falls apart. In the operational context, it means setting and dictating the terms of action throughout the battle or operation. An individual leader with initiative is willing to decide and initiate independent actions when the concept of operations no longer applies or when an unanticipated opportunity leading to accomplishment of the commander’s intent presents itself. Initiative drives the Army leader to seek a better method, anticipate what must be done, and perform without waiting for instructions. Balanced with good judgment, it becomes *disciplined* initiative, an essential leader attribute. (FM 100-5 discusses initiative as it relates to military actions at the operational level. FM 100-34 discusses the relationship of initiative to command and control. FM 100-40 discusses the place of initiative in the art of tactics.)

2-49. As an Army leader, you can’t just give orders: you must make clear the intent of those orders, the final goal of the mission. In combat, it’s critically important for subordinates to understand their commander’s intent. When they are cut off or enemy actions derail the original plan, well-trained soldiers who understand the commander’s intent will apply disciplined initiative to accomplish the mission.



2-50. Disciplined initiative doesn't just appear; you must develop it within your subordinates. Your leadership style and the organizational climate you establish can either encourage or discourage initiative: you can instill initiative in your subordinates or you can drive it out. If

you underwrite honest mistakes, your subordinates will be more likely to develop initiative. If you set a "zero defects" standard, you risk strangling initiative in its cradle, the hearts of your subordinates. (Chapter 5 discusses "zero defects" and learning.)

### The Quick Reaction Platoon

On 26 December 1994 a group of armed and disgruntled members of the Haitian Army entered the Haitian Army Headquarters in Port-au-Prince demanding back pay. A gunfight ensued less than 150 meters from the grounds of the Haitian Palace, seat of the new government. American soldiers from C Company, 1-22 Infantry, who had deployed to Haiti as part of Operation Uphold Democracy, were guarding the palace grounds. The quick reaction platoon leader deployed and immediately maneuvered his platoon towards the gunfire. The platoon attacked, inflicting at least four casualties and causing the rest of the hostile soldiers to flee. The platoon quelled a potentially explosive situation by responding correctly and aggressively to the orders of their leader, who knew his mission and the commander's intent.

#### Judgment

*I learned that good judgment comes from experience and that experience grows out of mistakes.*

General of the Army Omar N. Bradley

2-51. Leaders must often juggle hard facts, questionable data, and gut-level intuition to arrive at a decision. Good judgment means making the best decision for the situation. It's a key attribute of the art of command and the transformation of knowledge into understanding. (FM 100-34 discusses how leaders convert data and information into knowledge and understanding.)

2-52. Good judgment is the ability to size up a situation quickly, determine what's important, and decide what needs to be done. Given a problem, you should consider a range of alternatives before you act. You need to think through the consequences of what you're about to do before you do it. In addition to considering the consequences, you should also think methodically. Some sources that aid judgment are the boss's intent, the desired goal, rules, laws, regulations, experience, and values. Good judgment also includes the ability to size up subordinates, peers, and the enemy for strengths, weaknesses, and potential actions. It's a critical part of problem

solving and decision making. (Chapter 5 discusses problem solving and decision making).

2-53. Judgment and initiative go hand in hand. As an Army leader, you must weigh what you know and make decisions in situations where others do nothing. There will be times when you'll have to make decisions under severe time constraints. In all cases, however, you must take responsibility for your actions. In addition, you must encourage disciplined initiative in, and teach good judgment to, your subordinates. Help your subordinates learn from mistakes by coaching and mentoring them along the way. (Chapter 5 discusses mentoring.)

#### Self-Confidence

2-54. Self-confidence is the faith that you'll act correctly and properly in any situation, even one in which you're under stress and don't have all the information you want. Self-confidence comes from competence: it's based on mastering skills, which takes hard work and dedication. Leaders who know their own capabilities and believe in themselves are self-confident. Don't mistake bluster—loudmouthed bragging or self-promotion—for self-confidence. Truly self-confident leaders don't need to advertise; their actions say it all.

2-55. Self-confidence is important for leaders and teams. People want self-confident leaders, leaders who understand the situation, know what needs to be done, and demonstrate that understanding and knowledge. Self-confident leaders instill self-confidence in their people. In combat, self-confidence helps soldiers control doubt and reduce anxiety. Together with will and self-discipline, self-confidence helps leaders act—do what must be done in circumstances where it would be easier to do nothing—and to convince their people to act as well.

### Intelligence

2-56. Intelligent leaders think, learn, and reflect; then they apply what they learn. Intelligence is more than knowledge, and the ability to think isn't the same as book learning. All people have some intellectual ability that, when developed, allows them to analyze and understand a situation. And although some people are smarter than others, all people can develop the capabilities they have. Napoleon himself observed how a leader's intellectual development applies directly to battlefield success:

*It is not genius which reveals to me suddenly and secretly what I should do in circumstances unexpected by others; it is thought and meditation.*

2-57. Knowledge is only part of the equation. Smart decisions result when you combine professional skills (which you learn through study) with experience (which you gain on the job) and your ability to reason through a problem based on the information available. Reflection is also important. From time to time, you find yourself carefully and thoughtfully considering how leadership, values, and other military principles apply to you and your job. When things don't go quite the way they intended, intelligent leaders are confident enough to step back and ask, "Why did things turn out that way?" Then they are smart enough to build on their strengths and avoid making the same mistake again.

2-58. Reflection also contributes to your originality (the ability to innovate, rather than only adopt others' methods) and intuition (direct, immediate insight or understanding of important

factors without apparent rational thought or inference). Remember COL Chamberlain at Little Round Top. To his soldiers, it sometimes appeared that he could "see through forests and hills and know what was coming." But this was no magical ability. Through study and reflection, the colonel had learned how to analyze terrain and imagine how the enemy might attempt to use it to his advantage. He had applied his intelligence and developed his intellectual capabilities. Good leaders follow COL Chamberlain's example.

### Cultural Awareness

2-59. Culture is a group's shared set of beliefs, values, and assumptions about what's important. As an Army leader, you must be aware of cultural factors in three contexts:

- You must be sensitive to the different backgrounds of your people.
- You must be aware of the culture of the country in which your organization is operating.
- You must take into account your partners' customs and traditions when you're working with forces of another nation.

2-60. Within the Army, people come from widely different backgrounds: they are shaped by their schooling, race, gender, and religion as well as a host of other influences. Although they share Army values, an African-American man from rural Texas may look at many things differently from, say, a third-generation Irish-American man who grew up in Philadelphia or a Native American woman from the Pacific Northwest. But be aware that perspectives vary within groups as well. That's why you should try to understand individuals based on their own ideas, qualifications, and contributions and not jump to conclusions based on stereotypes.

2-61. Army values are part of the Army's institutional culture, a starting point for how you as a member of the Army should think and act. Beyond that, Army leaders not only recognize that people are different; they value them because of their differences, because they are people. Your job as a leader isn't to make everyone the same.

Instead, your job is to take advantage of the fact that everyone is different and build a cohesive team. (Chapter 7 discusses the role strategic leaders play in establishing and maintaining the Army's institutional culture.)

2-62. There's great diversity in the Army—religious, ethnic, and social—and people of different backgrounds bring different talents to the table. By joining the Army, these people have agreed to adopt the Army culture. Army leaders make this easier by embracing and making use of everyone's talents. What's more, they create a team where subordinates know they are valuable and their talents are important.

2-63. You never know how the talents of an individual or group will contribute to mission accomplishment. For example, during World War II US Marines from the Navajo nation formed a group of radio communications specialists dubbed the Navajo Code Talkers. The code talkers used their native language—a unique talent—to handle command radio traffic. Not even the best Japanese code breakers could decipher what was being said.

2-64. Understanding the culture of your adversaries and of the country in which your organization is operating is just as important as understanding the culture of your own country and organization. This aspect of cultural awareness has always been important, but today's operational environment of frequent

deployments—often conducted by small units under constant media coverage—makes it even more so. As an Army leader, you need to remain aware of current events—particularly those in areas where America has national interests. You may have to deal with people who live in those areas, either as partners, neutrals, or adversaries. The more you know about them, the better prepared you'll be.

2-65. You may think that understanding other cultures applies mostly to stability operations and support operations. However, it's critical to planning offensive and defensive operations as well. For example, you may employ different tactics against an adversary who considers surrender a dishonor worse than death than against those for whom surrender is an honorable option. Likewise, if your organization is operating as part of a multinational team, how well you understand your partners will affect how well the team accomplishes its mission.

2-66. Cultural awareness is crucial to the success of multinational operations. In such situations Army leaders take the time to learn the customs and traditions of the partners' cultures. They learn how and why others think and act as they do. In multinational forces, effective leaders create a "third culture," which is the bridge or the compromise among partners. This is what GA Eisenhower did in the following example.

### GA Eisenhower Forms SHAEF

During World War II, one of GA Eisenhower's duties as Supreme Allied Commander in the European Theater of Operations (ETO) was to form his theater headquarters, the Supreme Headquarters, Allied Expeditionary Force (SHAEF). GA Eisenhower had to create an environment in this multinational headquarters in which staff members from the different Allied armies could work together harmoniously. It was one of GA Eisenhower's toughest jobs.

The forces under his command—American, British, French, Canadian, and Polish—brought not only different languages, but different ways of thinking, different ideas about what was important, and different strategies. GA Eisenhower could have tried to bend everyone to his will and his way of thinking; he was the boss, after all. But it's doubtful the Allies would have fought as well for a bullying commander or that a bullying commander would have survived politically. Instead, he created a positive organizational climate that made best use of the various capabilities of his subordinates. This kind of work takes tact, patience, and trust. It doesn't destroy existing cultures but creates a new one. (Chapter 7 discusses how building this coalition contributed to the Allied victory in the ETO.)

## PHYSICAL ATTRIBUTES

2-67. Physical attributes—health fitness, physical fitness, and military and professional bearing—can be developed. Army leaders maintain the appropriate level of physical fitness and military bearing.

### Health Fitness

*Disease was the chief killer in the [American Civil] war. Two soldiers died of it for every one killed in battle...In one year, 995 of every thousand men in the Union army contracted diarrhea and dysentery.*

Geoffrey C. Ward  
*The Civil War*

2-68. Health fitness is everything you do to maintain good health, things such as undergoing routine physical exams, practicing good dental hygiene, maintaining deployability standards, and even personal grooming and cleanliness. A soldier unable to fight because of dysentery is as much a loss as one who's wounded. Healthy soldiers can perform under extremes in temperature, humidity, and other conditions better than unhealthy ones. Health fitness also includes avoiding things that degrade your health, such as substance abuse, obesity, and smoking.

### Physical Fitness

*Fatigue makes cowards of us all.*

General George S. Patton Jr.  
Commanding General, Third Army, World War II

2-69. Unit readiness begins with physically fit soldiers and leaders. Combat drains soldiers physically, mentally, and emotionally. To minimize those effects, Army leaders are physically fit, and they make sure their subordinates are fit as well. Physically fit soldiers perform better in all areas, and physically fit leaders are better able to think, decide, and act appropriately under pressure. Physical readiness provides a foundation for combat readiness, and it's up to you, the leader, to get your soldiers ready.

2-70. Although physical fitness is a crucial element of success in battle, it's not just for front-line soldiers. Wherever they are, people who are

physically fit feel more competent and confident. That attitude reassures and inspires those around them. Physically fit soldiers and DA civilians can handle stress better, work longer and harder, and recover faster than ones who are not fit. These payoffs are valuable in both peace and war.

2-71. The physical demands of leadership positions, prolonged deployments, and continuous operations can erode more than just physical attributes. Soldiers must show up ready for deprivations because it's difficult to maintain high levels of fitness during deployments and demanding operations. Trying to get fit under those conditions is even harder. If a person isn't physically fit, the effects of additional stress snowball until their mental and emotional fitness are compromised as well. Army leaders' physical fitness has significance beyond their personal performance and well-being. Since leaders' decisions affect their organizations' combat effectiveness, health, and safety and not just their own, maintaining physical fitness is an ethical as well as a practical imperative.

2-72. The Army Physical Fitness Test (APFT) measures a baseline level of physical fitness. As an Army leader, you're required to develop a physical fitness program that enhances your soldiers' ability to complete soldier and leader tasks that support the unit's mission essential task list (METL). (FM 25-101 discusses METL-based integration of soldier, leader, and collective training.) Fitness programs that emphasize training specifically for the APFT are boring and don't prepare soldiers for the varied stresses of combat. Make every effort to design a physical fitness program that prepares your people for what you expect them to do in combat. Readiness should be your program's primary focus; preparation for the APFT itself is secondary. (FM 21-20 is your primary physical fitness resource.)

*You have to lead men in war by requiring more from the individual than he thinks he can do. You have to [bring] them along to endure and to display qualities of fortitude that are beyond the average man's thought of what he should be expected to do. You have to*



*inspire them when they are hungry and exhausted and desperately uncomfortable and in great danger; and only a man of positive characteristics of leadership, with the physical stamina [fitness] that goes with it, can function under those conditions.*

General of the Army George C. Marshall  
Army Chief of Staff, World War II

### Military and Professional Bearing

*Our...soldiers should look as good as they are.*

Sergeant Major of the Army Julius W. Gates

2-73. As an Army leader, you're expected to look like a soldier. Know how to wear the uniform and wear it with pride at all times. Meet height and weight standards. By the way you carry yourself and through your military courtesy and appearance, you send a signal: I am proud of my uniform, my unit, and myself. Skillful use of your professional bearing—fitness, courtesy, and military appearance—can often help you manage difficult situations. A professional—DA civilian or soldier—presents

a professional appearance, but there's more to being an Army professional than looking good. Professionals are competent as well; the Army requires you to both *look* good and *be* good.

### EMOTIONAL ATTRIBUTES

*Anyone can become angry—that is easy. But to be angry with the right person, to the right degree, at the right time, for the right purpose, and in the right way—that is not easy.*

Aristotle

Greek philosopher and tutor to Alexander the Great

2-74. As an Army leader, your emotional attributes—self-control, balance, and stability—contribute to how you feel and therefore to how you interact with others. Your people are human beings with hopes, fears, concerns, and dreams. When you understand that will and endurance come from emotional energy, you possess a powerful leadership tool. The feedback you give can help your subordinates use their emotional energy to accomplish amazing feats in tough times.

### Self-Control in Combat

An American infantry company in Vietnam had been taking a lot of casualties from booby traps. The soldiers were frustrated because they could not fight back. One night, snipers ambushed the company near a village, killing two soldiers. The rest of the company—scared, anguished, and frustrated—wanted to enter the village, but the commander—who was just as angry—knew that the snipers were long gone. Further, he knew that there was a danger his soldiers would let their emotions get the upper hand, that they might injure or kill some villagers out of a desire to strike back at something. Besides being criminal, such killings would drive more villagers to the Viet Cong. The commander maintained control of his emotions, and the company avoided the village.

2-75. Self-control, balance, and stability also help you make the right ethical choices. Chapter 4 discusses the steps of ethical reasoning. However, in order to follow those steps, you must remain in control of yourself; you can't be at the mercy of your impulses. You must remain calm under pressure, "watch your lane," and expend energy on things you can fix. Inform your boss of things you can't fix and don't worry about things you can't affect.

2-76. Leaders who are emotionally mature also have a better awareness of their own strengths and weaknesses. Mature leaders spend their energy on self-improvement; immature leaders spend their energy denying there's anything wrong. Mature, less defensive leaders benefit from constructive criticism in ways that immature people cannot.

### Self-Control

*Sure I was scared, but under the circumstances, I'd have been crazy not to be scared....There's nothing wrong with fear. Without fear, you can't have acts of courage.*

Sergeant Theresa Kristek  
Operation Just Cause, Panama

2-77. Leaders control their emotions. No one wants to work for a hysterical leader who might lose control in a tough situation. This doesn't mean you never show emotion. Instead, you must display the proper amount of emotion and passion—somewhere between too much and too little—required to tap into your subordinates' emotions. Maintaining self-control inspires calm confidence in subordinates, the coolness under fire so essential to a successful unit. It also encourages feedback from your subordinates that can expand your sense of what's really going on.

### Balance

*An officer or noncommissioned officer who loses his temper and flies into a tantrum has failed to obtain his first triumph in discipline.*

*Noncommissioned Officer's Manual, 1917*

2-78. Emotionally balanced leaders display the right emotion for the situation and can also read others' emotional state. They draw on

their experience and provide their subordinates the proper perspective on events. They have a range of attitudes—from relaxed to intense—with which to approach situations and can choose the one appropriate to the circumstances. Such leaders know when it's time to send a message that things are urgent and how to do that without throwing the organization into chaos. They also know how to encourage people at the toughest moments and keep them driving on.

### Stability

*Never let yourself be driven by impatience or anger. One always regrets having followed the first dictates of his emotions.*

Marshal de Belle-Isle  
French Minister of War, 1757-1760

2-79. Effective leaders are steady, levelheaded under pressure and fatigue, and calm in the face of danger. These characteristics calm their subordinates, who are always looking to their leader's example. Display the emotions you want your people to display; don't give in to the temptation to do what feels good for you. If you're under great stress, it might feel better to vent—scream, throw things, kick furniture—but that will not help the organization. If you want your subordinates to be calm and rational under pressure, you must be also.

### BG Jackson at First Bull Run

At a crucial juncture in the First Battle of Bull Run, the Confederate line was being beaten back from Matthews Hill by Union forces. Confederate BG Thomas J. Jackson and his 2,000-man brigade of Virginians, hearing the sounds of battle to the left of their position, pressed on to the action. Despite a painful shrapnel wound, BG Jackson calmly placed his men in a defensive position on Henry Hill and assured them that all was well.

As men of the broken regiments flowed past, one of their officers, BG Barnard E. Bee, exclaimed to BG Jackson, "General, they are driving us!" Looking toward the direction of the enemy, BG Jackson replied, "Sir, we will give them the bayonet." Impressed by BG Jackson's confidence and self-control, BG Bee rode off towards what was left of the officers and men of his brigade. As he rode into the throng he gestured with his sword toward Henry Hill and shouted, "Look, men! There is Jackson standing like a stone wall! Let us determine to die here, and we will conquer! Follow me!"

BG Bee would later be mortally wounded, but the Confederate line stiffened and the nickname he gave to BG Jackson would live on in American military history. This example shows how one leader's self-control under fire can turn the tide of battle by influencing not only the leader's own soldiers, but the leaders and soldiers of other units as well.

## FOCUS ON CHARACTER

*Just as fire tempers iron into fine steel, so does adversity temper one's character into firmness, tolerance, and determination.*

Margaret Chase Smith  
Lieutenant Colonel, US Air Force Reserve  
and United States Senator

2-80. Earlier in this chapter, you read how character is made up of two interacting sets of characteristics: values and attributes. People enter the Army with values and attributes they've developed over the course of a lifetime, but those are just the starting points for further character development. Army leaders continuously develop in themselves and their subordinates the Army values and leader attributes that this chapter discusses and Figure 1-1 shows. This isn't just an academic exercise, another mandatory training topic to address once a year. Your character shows through in your actions—on and off duty.

2-81. Character helps you determine what's right and motivates you to do it, regardless of the circumstances or the consequences. What's more, an informed ethical conscience consistent with Army values steels you for making the right choices when faced with tough questions. Since Army leaders seek to do what's right and inspire others to do the same, you must be concerned with character development. Examine the actions in this example, taken from the report of a platoon sergeant during Operation Desert Storm. Consider the aspects of character that contributed to them.

### Character and Prisoners

The morning of [28 February 1991], about a half-hour prior to the cease-fire, we had a T-55 tank in front of us and we were getting ready [to engage it with a TOW]. We had the TOW up and we were tracking him and my wingman saw him just stop and a head pop up out of it. And Neil started calling me saying, "Don't shoot, don't shoot, I think they're getting off the tank." And they did. Three of them jumped off the tank and ran around a sand dune. I told my wingman, "I'll cover the tank, you go on down and check around the back side and see what's down there." He went down there and found about 150 PWs....

[T]he only way we could handle that many was just to line them up and run them through...a little gauntlet...[W]e had to check them for weapons and stuff and we lined them up and called for the PW handlers to pick them up. It was just amazing.

We had to blow the tank up. My instructions were to destroy the tank, so I told them to go ahead and move it around the back side of the berm a little bit to safeguard us, so we wouldn't catch any shrapnel or ammunition coming off. When the tank blew up, these guys started yelling and screaming at my soldiers, "Don't shoot us, don't shoot us," and one of my soldiers said, "Hey, we're from America; we don't shoot our prisoners." That sort of stuck with me.

2-82. The soldier's comment at the end of this story captures the essence of character. He said, "We're from America..." He defined, in a very simple way, the connection between who you are—your character—and what you do. This example illustrates character—shared values and attributes—telling soldiers what to do and what not to do. However, it's interesting for other reasons. Read it again: You can almost

feel the soldiers' surprise when they realized what the Iraqi PWs were afraid of. You can picture the young soldier, nervous, hands on his weapon, but still managing to be a bit amused. The right thing, the ethical choice, was so deeply ingrained in those soldiers that it never occurred to them to do anything other than safeguard the PWs.

### The Battle of the Bulge

In December 1944 the German Army launched its last major offensive on the Western Front of the ETO, sending massive infantry and armor formations into a lightly-held sector of the Allied line in Belgium. American units were overrun. Thousands of green troops, sent to that sector because it was quiet, were captured. For two desperate weeks the Allies fought to check the enemy advance. The 101st Airborne Division was sent to the town of Bastogne. The Germans needed to control the crossroads there to move equipment to the front; the 101st was there to stop them.

Outnumbered, surrounded, low on ammunition, out of medical supplies, and with wounded piling up, the 101st, elements of the 9th and 10th Armored Divisions, and a tank destroyer battalion fought off repeated attacks through some of the coldest weather Europe had seen in 50 years. Wounded men froze to death in their foxholes. Paratroopers fought tanks. Nonetheless, when the German commander demanded American surrender, BG Anthony C. McAuliffe, acting division commander, sent a one-word reply: “Nuts.”

The Americans held. By the time the Allies regained control of the area and pushed the Germans back, Hitler’s “Thousand Year Reich” had fewer than four months remaining.

2-83. BG McAuliffe spoke based on what he knew his soldiers were capable of, even in the most extreme circumstances. This kind of courage and toughness didn’t develop overnight.

Every Allied soldier brought a lifetime’s worth of character to that battle; that character was the foundation for everything else that made them successful.

### GA Eisenhower’s Message

On 5 June 1944, the day before the D-Day invasion, with his hundreds of thousands of soldiers, sailors and airmen poised to invade France, GA Dwight D. Eisenhower took a few minutes to draft a message he hoped he would never deliver. It was a “statement he wrote out to have ready when the invasion was repulsed, his troops torn apart for nothing, his planes ripped and smashed to no end, his warships sunk, his reputation blasted.”

In his handwritten statement, GA Eisenhower began, “Our landings in the Cherbourg-Havre area have failed to gain a satisfactory foothold and I have withdrawn the troops.” Originally he had written, the “troops have been withdrawn,” a use of the passive voice that conceals the actor. But he changed the wording to reflect his acceptance of full personal accountability.

GA Eisenhower went on, “My decision to attack at this time and place was based on the best information available.” And after recognizing the courage and sacrifice of the troops he concluded, “If any blame or fault attaches to this attempt, it is mine alone.”

2-84. GA Eisenhower, in command of the largest invasion force ever assembled and poised on the eve of a battle that would decide the fate of millions of people, was guided by the same values and attributes that shaped the actions of the soldiers in the Desert Storm example. His character allowed for nothing

less than acceptance of total personal responsibility. If things went badly, he was ready to take the blame. When things went well, he gave credit to his subordinates. The Army values GA Eisenhower personified provide a powerful example for all members of the Army.

## CHARACTER AND THE WARRIOR ETHOS

2-85. The *warrior ethos* refers to the professional attitudes and beliefs that characterize the American soldier. At its core, the warrior ethos grounds itself on the refusal to accept failure. The Army has forged the warrior ethos on training grounds from Valley Forge to the CTCs and honed it in battle from Bunker Hill to San Juan Hill, from the Meuse-Argonne to Omaha Beach, from Pork Chop Hill to the Ia Drang Valley, from Salinas Airfield to the Battle of 73 Easting. It derives from the unique realities of battle. It echoes through the precepts in the Code of Conduct. Developed through discipline, commitment to Army values, and knowledge of the Army's proud heritage, the warrior ethos makes clear that military service is much more than just another job: the purpose of winning the nation's wars calls for total commitment.

2-86. America has a proud tradition of winning. The ability to forge victory out of the chaos of battle includes overcoming fear, hunger, deprivation, and fatigue. The Army wins because it fights hard; it fights hard because it trains hard; and it trains hard because that's the way to *win*. Thus, the warrior ethos is about more than persevering under the worst of conditions; it fuels the fire to fight through those conditions to victory no matter how long it takes, no matter how much effort is required. It's one thing to make a snap decision to risk your life for a brief period of time. It's quite another to sustain the will to win when the situation looks hopeless and doesn't show any indications of getting better, when being away from home and family is a profound hardship. The soldier who jumps on a grenade to save his comrades is courageous, without question. That action requires great physical courage, but pursuing victory over time also requires a deep moral courage that concentrates on the mission.

2-87. The warrior ethos concerns character, shaping who you are and what you do. In that sense, it's clearly linked to Army values such as *personal courage, loyalty to comrades, and*

*dedication to duty*. Both loyalty and duty involve putting your life on the line, even when there's little chance of survival, for the good of a cause larger than yourself. That's the clearest example of *selfless service*. American soldiers never give up on their fellow soldiers, and they never compromise on doing their duty. *Integrity* underlies the character of the Army as well. The warrior ethos requires unrelenting and consistent determination to do what is right and to do it with pride, both in war and military operations other than war. Understanding what is right requires *respect* for both your comrades and other people involved in such complex arenas as peace operations and nation assistance. In such ambiguous situations, decisions to use lethal or nonlethal force severely test judgment and discipline. In whatever conditions Army leaders find themselves, they turn the personal warrior ethos into a collective commitment to win with *honor*.

2-88. The warrior ethos is crucial—and perishable—so the Army must continually affirm, develop, and sustain it. Its martial ethic connects American warriors today with those whose sacrifices have allowed our very existence. The Army's continuing drive to be the best, to triumph over all adversity, and to remain focused on mission accomplishment does more than preserve the Army's institutional culture; it sustains the nation.

2-89. Actions that safeguard the nation occur everywhere you find soldiers. The warrior ethos spurs the lead tank driver across a line of departure into uncertainty. It drives the bone-tired medic continually to put others first. It pushes the sweat-soaked gunner near muscle failure to keep up the fire. It drives the heavily loaded infantry soldier into an icy wind, steadily uphill to the objective. It presses the signaler through fatigue to provide communications. And the warrior ethos urges the truck driver across frozen roads bounded by minefields because fellow soldiers at an isolated outpost need supplies. Such tireless motivation comes in part from the comradeship that springs from the warrior ethos. Soldiers fight for each other; they would rather die than let their buddies down. That loyalty runs front to rear as well as left to right: mutual



support marks Army culture regardless of who you are, where you are, or what you are doing.

2-90. That tight fabric of loyalty to one another and to collective victory reflects perhaps the noblest aspect of our American warrior ethos: the military's subordinate relationship to civilian authority. That subordination began in 1775, was reconfirmed at Newburgh, New York, in 1782, and continues to this day. It's established in the Constitution and makes possible the freedom all Americans enjoy. The Army sets out to achieve national objectives, not its own, for *selfless service* is an institutional as well as an individual value. And in the end, the Army returns its people back to the nation. America's sons and daughters return with their experience as part of a winning team and share that spirit as citizens. The traditions and values of the service derive from a commitment to excellent performance and operational success. They also point to the Army's unwavering commitment to the society we serve. Those characteristics serve America and its citizens—both in and out of uniform—well.

### CHARACTER DEVELOPMENT

2-91. People come to the Army with a character formed by their background, religious or philosophical beliefs, education, and experience. Your job as an Army leader would be a great deal easier if you could check the values of a new DA civilian or soldier the way medics check teeth or run a blood test. You

could figure out what values were missing by a quick glance at Figure 1-1 and administer the right combination, maybe with an injection or magic pill.

2-92. But character development is a complex, lifelong process. No scientist can point to a person and say, "This is when it all happens." However, there are a few things you can count on. You build character in subordinates by creating organizations in which Army values are not just words in a book but precepts for what their members do. You help build subordinates' character by acting the way you want them to act. You teach by example, and coach along the way. (Appendix E contains additional information on character development.) When you hold yourself and your subordinates to the highest standards, you reinforce the values those standards embody. They spread throughout the team, unit, or organization—throughout the Army—like the waves from a pebble dropped into a pond.

### CHARACTER AND ETHICS

2-93. When you talk about character, you help your people answer the question, What kind of person should I be? You must not only embrace Army values and leader attributes but also use them to think, reason, and—after reflection—act. Acting in a situation that tests your character requires moral courage. Consider this example.

### The Qualification Report

A battalion in a newly activated division had just spent a great deal of time and effort on weapons qualification. When the companies reported results, the battalion commander could not understand why B and C Companies had reported all machine gunners fully qualified while A Company had not. The A Company Commander said that he could not report his gunners qualified because they had only fired on the 10-meter range and the manual for qualification clearly stated that the gunners had to fire on the transition range as well. The battalion commander responded that since the transition range was not built yet, the gunners should be reported as qualified: "They fired on the only range we have. And besides, that's how we did it at Fort Braxton."

Some of the A Company NCOs, who had also been at Fort Braxton, tried to tell their company commander the same thing. But the captain insisted the A Company gunners were not fully qualified, and that's how the report went to the brigade commander.

### The Qualification Report (continued)

The brigade commander asked for an explanation of the qualification scores. After hearing the A Company Commander's story, he agreed that the brigade would be doing itself no favors by reporting partially qualified gunners as fully qualified. The incident also sent a message to division: get that transition range built.

The A Company Commander's choice was not between loyalty to his battalion commander and honesty; doing the right thing here meant being loyal and honest. And the company commander had the moral courage to be both honest and loyal—loyal to the Army, loyal to his unit, and loyal to his soldiers.

2-94. The A Company Commander made his decision and submitted his report without knowing how it would turn out. He didn't know the brigade commander would back him up, but he reported his company's status relative to the published Army standard anyway. He insisted on reporting the truth—which took character—because it was the right thing to do.

2-95. Character is important in living a consistent and moral life, but character doesn't always provide the final answer to the specific question, What should I do now? Finding that answer can be called ethical reasoning. Chapter 4 outlines a process for ethical reasoning. When you read it, keep in mind that the process is much more complex than the steps indicate and that you must apply your own values, critical reasoning skills, and imagination to the situation. There are no formulas that will serve every time; sometimes you may not even come up with an answer that completely satisfies you. But if you embrace Army values and let them govern your actions, if you learn from your experiences and develop your skills over time, you're as prepared as you can be to face the tough calls.

2-96. Some people try to set different Army values against one another, saying a problem is about loyalty versus honesty or duty versus respect. Leadership is more complicated than that; the world isn't always black and white. If it were, leadership would be easy and anybody could do it. However, in the vast majority of cases, Army values are perfectly compatible; in fact, they reinforce each other.

### CHARACTER AND ORDERS

2-97. Making the right choice and acting on it when faced with an ethical question can be difficult. Sometimes it means standing your ground. Sometimes it means telling your boss you think the boss is wrong, like the finance supervisor in Chapter 1 did. Situations like these test your character. But a situation in which you think you've received an illegal order can be even more difficult.

2-98. In Chapter 1 you read that a good leader executes the boss's decision with energy and enthusiasm. The only exception to this principle is your duty to disobey illegal orders. This isn't a privilege you can conveniently claim, but a duty you must perform. If you think an order is illegal, first be sure that you understand both the details of the order and its original intent. Seek clarification from the person who gave the order. This takes moral courage, but the question will be straightforward: Did you really mean for me to...steal the part...submit a false report...shoot the prisoners? If the question is complex or time permits, always seek legal counsel. However, if you must decide immediately—as may happen in the heat of combat make the best judgment possible based on Army values, your experience, and your previous study and reflection. You take a risk when you disobey what you believe to be an illegal order. It may be the most difficult decision you'll ever make, but that's what leaders do.

2-99. While you'll never be completely prepared for such a situation, spending time reflecting on Army values and leader attributes may help. Talk to your superiors, particularly those who

have done what you aspire to do or what you think you'll be called on to do; providing counsel of this sort is an important part of mentoring (which Chapter 5 discusses). Obviously, you need to make time to do this before you're faced with a tough call. When you're in the middle of a firefight, you don't have time to reflect.

### CHARACTER AND BELIEFS

2-100. What role do beliefs play in ethical matters? Beliefs are convictions people hold as true; they are based on their upbringing, culture, heritage, families, and traditions. As a result, different moral beliefs have been and will continue to be shaped by diverse religious and philosophical traditions. You serve a nation that takes very seriously the notion that people are free to choose their own beliefs and the basis for those beliefs. In fact, America's strength comes from that diversity. The Army respects different moral backgrounds and personal convictions—as long as they don't conflict with Army values.

2-101. Beliefs matter because they are the way people make sense of what they experience. Beliefs also provide the basis for personal values; values are moral beliefs that shape a person's behavior. Effective leaders are careful not to require their people to violate their beliefs by ordering or encouraging any illegal or unethical action.

2-102. The Constitution reflects our deepest national values. One of these values is the guarantee of freedom of religion. While religious beliefs

and practices are left to individual conscience, Army leaders are responsible for ensuring their soldiers' right to freely practice their religion. Title 10 of the United States Code states, "Each commanding officer shall furnish facilities, including necessary transportation, to any chaplain assigned to his command, to assist the chaplain in performing his duties." What does this mean for Army leaders? The commander delegates staff responsibility to the chaplain for programs to enhance spiritual fitness since many people draw moral fortitude and inner strength from a spiritual foundation. At the same time, no leader may apply undue influence or coerce others in matters of religion—whether to practice or not to practice specific religious beliefs. (The first ten amendments to the Constitution are called the Bill of Rights. Freedom of religion is guaranteed by the First Amendment, an indication of how important the Founders considered it. You can read the Bill of Rights in Appendix F.)

2-103. Army leaders also recognize the role beliefs play in preparing soldiers for battle. Soldiers often fight and win over tremendous odds when they are convinced of the ideals (beliefs) for which they are fighting. Commitment to such beliefs as justice, liberty, freedom, and not letting down your fellow soldier can be essential ingredients in creating and sustaining the will to fight and prevail. A common theme expressed by American PWs during the Vietnam Conflict was the importance of values instilled by a common American culture. Those values helped them to withstand torture and the hardships of captivity.

## SECTION II

### COMPETENCE: WHAT A LEADER MUST KNOW

*The American soldier...demands professional competence in his leaders. In battle, he wants to know that the job is going to be done right, with no unnecessary casualties. The noncommissioned officer wearing the chevron is supposed to be the best soldier in the platoon and he is supposed to know how to perform all the duties expected of him. The American soldier expects his sergeant to be able to teach him how to do his job. And he expects even more from his officers.*

General of the Army Omar N. Bradley

2-104. Army values and leader attributes form the foundation of the character of soldiers and

DA civilians. Character, in turn, serves as the basis of knowing (competence) and doing



(leadership). The self-discipline that leads to teamwork is rooted in character. In the Army, teamwork depends on the actions of competent leaders of proven character who know their profession and act to improve their organizations. The best Army leaders constantly strive to improve, to get better at what they do. Their self-discipline focuses on learning more about their profession and continually getting the team to perform better. They build competence in themselves and their subordinates. Leader skills increase in scope and complexity as one moves from direct leader positions to organizational and strategic leader positions. Chapters 4, 6, and 7 discuss in detail the different skills direct, organizational, and strategic leaders require.

2-105. Competence results from hard, realistic training. That's why Basic Training starts with simple skills, such as drill and marksmanship. Soldiers who master these skills have a couple of victories under their belts. The message from the drill sergeants—explicit or not—is, “You’ve learned how to do those things; now you’re ready to take on something tougher.” When you lead people through progressively more complex tasks this way, they develop the confidence and will—the inner drive—to take on the next, more difficult challenge.



Figure 2-3. Leader Skills

2-106. For you as an Army leader, competence means much more than being well-trained. Competence links character (knowing the right thing to do) and leadership (doing or influencing your people to do the right thing). Leaders are responsible for being personally competent, but even that isn’t enough: as a leader, you’re responsible for your subordinates’ competence as well.

2-107. Figure 2-3 highlights the four categories containing skills an Army leader must KNOW:

- **Interpersonal skills** affect how you deal with people. They include coaching, teaching, counseling, motivating, and empowering.
- **Conceptual skills** enable you to handle ideas. They require sound judgment as well as the ability to think creatively and reason analytically, critically, and ethically.
- **Technical skills** are job-related abilities. They include basic soldier skills. As an Army leader, you must possess the expertise necessary to accomplish all tasks and functions you’re assigned.
- **Tactical skills** apply to solving tactical problems, that is, problems concerning employment of units in combat. You enhance tactical skills when you combine them with interpersonal, conceptual, and technical skills to accomplish a mission.

2-108. Leaders in combat combine interpersonal, conceptual, technical, and tactical skills to accomplish the mission. They use their interpersonal skills to communicate their intent effectively and motivate their soldiers. They apply their conceptual skills to determine viable concepts of operations, make the right decisions, and execute the tactics the operational environment requires. They capitalize on their technical skills to properly employ the techniques, procedures, fieldcraft, and equipment that fit the situation. Finally, combat leaders employ tactical skill, combining skills from the other skill categories with knowledge of the art of tactics appropriate to their level of responsibility and unit type to accomplish the mission. When plans go wrong and leadership must turn the tide, it is tactical skill, combined with

character, that enables an Army leader to seize control of the situation and lead the unit to mission accomplishment.

2-109. The Army leadership framework draws a distinction between developing skills and performing actions. Army leaders who take their units to a combat training center (CTC) improve their skills by performing actions—by doing their jobs on the ground in the midst of intense simulated combat. But they don’t wait until they arrive at the CTC to develop their skills; they practice ahead of time in command

post exercises, in combat drills, on firing ranges, and even on the physical training (PT) field.

2-110. Your leader skills will improve as your experience broadens. A platoon sergeant gains valuable experience on the job that will help him be a better first sergeant. Army leaders take advantage of every chance to improve: they look for new learning opportunities, ask questions, seek training opportunities, and request performance critiques.

## SECTION III

### LEADERSHIP: WHAT A LEADER MUST DO

*He gets his men to go along with him because they want to do it for him and they believe in him.*

General of the Army Dwight D. Eisenhower



Figure 2-4. Leader Actions

2-111. Leaders act. They bring together everything they are, everything they believe, and everything they know how to do to provide purpose, direction, and motivation. Army leaders work to influence people, operate to accomplish the mission, and act to improve their organization. This section introduces leader actions. Chapters 5, 6, and 7 discuss them more fully. As with leader skills, leader actions increase in scope and complexity as you move from direct leader positions to organizational and strategic leader positions.

2-112. Developing the right values, attributes, and skills is only preparation to lead. Leadership doesn’t begin until you act. Leaders who live up to Army values, who display leader attributes, who are competent, who act at all times as they would have their people act, will succeed. Leaders who talk a good game but can’t back their words with actions will fail in the long run.

## INFLUENCING

2-113. Army leaders use interpersonal skills to guide others toward a goal. Direct leaders most often influence subordinates face to face—such as when a team leader gives instructions, recognizes achievement, and encourages hard work. Organizational and strategic leaders also influence their immediate subordinates and staff face to face; however, they guide their organizations primarily by indirect influence. Squad leaders, for example, know what their division commander wants, not because the general has briefed each one personally, but because his

intent is passed through the chain of command. Influencing actions fall into these categories:

- **Communicating** involves displaying good oral, written, and listening skills for individuals and groups.
- **Decision making** involves selecting the line of action intended to be followed as the one most favorable to the successful accomplishment of the mission. This involves using sound judgment, reasoning logically, and managing resources wisely.
- **Motivating** involves inspiring and guiding others toward mission accomplishment.

## OPERATING

2-114. Operating is what you do to accomplish the immediate mission, to get the job done on time and to standard. Operating actions fall into these categories:

- **Planning and preparing** involve developing detailed, executable plans that are feasible, acceptable, and suitable; arranging unit support for the exercise or operation; and conducting rehearsals. During tactical operations, decision making and planning are enhanced by two methodologies: the military decision making process (MDMP) and the troop leading procedures (TLP). Battalion and higher echelons follow the

MDMP. Company and lower echelons follow the TLP. (FM 101-5 discusses the MDMP.)

- **Executing** involves meeting mission standards, taking care of people, and efficiently managing resources.
- **Assessing** involves evaluating the efficiency and effectiveness of any system or plan in terms of its purpose and mission.

2-115. Leaders assess, or judge, performance so they can determine what needs to be done to sustain the strong areas and improve weak ones. This kind of forward thinking is linked to the last leader action, improving.

## IMPROVING

2-116. Good leaders strive to leave an organization better than they found it. A child struggling to understand why it is better to put money in a piggy bank is learning what leaders know: plan and sacrifice now for the sake of the future. All leaders are tempted to focus on the short-term gain that makes them and their organizations look good today: “Why bother to fix it now? By the time next year rolls around, it will be someone else’s problem.” But that attitude doesn’t serve either your subordinates or the Army well. When an organization sacrifices important training with long-term effects—say, training that leads to true marksmanship skill—and focuses exclusively on short-term appearances—such as qualification scores—the organization’s capabilities suffers.

2-117. The results of shortsighted priorities may not appear immediately, but they will appear. Loyalty to your people as well as the Army as an institution demands you consider the long-term effects of your actions. Some of your people will remain in the organization after you’ve moved on. Some will still be in the Army after you’re long gone. Soldiers and DA civilians tomorrow must live with problems leaders don’t fix today.

2-118. Army leaders set priorities and balance competing demands. They focus their organizations’ efforts on short- and long-term goals while continuing to meet requirements that may or may not contribute directly to achieving those goals. In the case of weapons proficiency, qualification is a requirement but true marksmanship skill is the goal. For battlefield success, soldiers need training that leads to understanding and mastery of technical and tactical skills that hold up under the stress of combat. Throw in all the other things vying for an organization’s time and resources and your job becomes even more difficult. Guidance from higher headquarters may help, but you must make the tough calls. Improving actions fall into these categories:

- **Developing** involves investing adequate time and effort to develop individual subordinates as leaders. It includes mentoring.
- **Building** involves spending time and resources to improve teams, groups, and units and to foster an ethical climate.
- **Learning** involves seeking self-improvement and organizational growth. It includes envisioning, adapting, and leading change.

## SUMMARY

2-119. As an Army leader, leadership in combat is your primary and most important challenge. It requires you to accept a set of values that contributes to a core of motivation and will. If you fail to accept and live these Army values, your soldiers may die unnecessarily and you may fail to accomplish your mission.

2-120. What must you, as an Army leader, BE, KNOW, and DO? You must have character, that combination of values and attributes that underlie your ability to see what needs to be done, decide to do it, and influence others to follow you. You must be competent, that is, possess the knowledge and skills required to do your job right. And you must lead, take the proper actions to accomplish the mission based

on what your character tells you is ethically right and appropriate for the situation.

2-121. Leadership in combat, the greatest challenge, requires a basis for your motivation and will. That foundation is Army values. In them are rooted the basis for the character and self-discipline that generate the will to succeed and the motivation to persevere. From this motivation derives the lifelong work of self-development in the skills that make a successful Army leader, one who walks the talk of BE, KNOW, DO. Chapter 3 examines the environment that surrounds your people and how what you do as a leader affects it. Understanding the human dimension is essential to mastering leader skills and performing leader actions.

## Chapter 3

# The Human Dimension

*All soldiers are entitled to outstanding leadership; I will provide that leadership. I know my soldiers and I will always place their needs above my own. I will communicate consistently with my soldiers and never leave them uninformed.*

Creed of the Noncommissioned Officer

3-1. Regardless of the level, keep in mind one important aspect of leadership: you lead people. In the words of former Army Chief of Staff Creighton W. Abrams,

*The Army is not made up of people; the Army is people...living, breathing, serving human beings. They have needs and interests and desires. They have spirit and will, strengths and abilities. They have weaknesses and faults, and they have means. They are the heart of our preparedness...and this preparedness—as a nation and as an Army—depends upon the spirit of our soldiers. It is the spirit that gives the Army...life. Without it we cannot succeed.*

3-2. GEN Abrams could not have been more clear about what's important. To fully appreciate the human dimension of leadership, you must understand two key elements: *leadership* itself and the *people* you lead. Leadership—what this manual is about—is far from an exact science; every person and organization is different. Not only that, the environment in which you lead is shaped first by who you are and what you know; second, by your people and what they know; and third, by everything that goes on around you.

3-3. This chapter examines this all-important human dimension. Later chapters discuss the levels of Army leadership and the skills and actions required of leaders at each level.

## PEOPLE, THE TEAM, AND THE INSTITUTION

3-4. Former Army Chief of Staff John A. Wickham Jr. described the relationship between the people who are the Army and the Army as an institution this way:

*The Army is an institution, not an occupation. Members take an oath of service to the nation and the Army, rather than simply accept a job...the Army has moral and ethical obligations to those who serve and their families; they, correspondingly, have responsibilities to the Army.*

3-5. The Army has obligations to soldiers, DA civilians, and their families that most organizations don't have; in return, soldiers and DA civilians have responsibilities to the Army that far exceed those of an employee to most employers. This relationship, one of mutual obligation and responsibility, is at the very center of what

makes the Army a team, an institution rather than an occupation.

3-6. Chapter 2 discussed how the Army can't function except as a team. This team identity doesn't come about just because people take an

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oath or join an organization; you can't force a team to come together any more than you can force a plant to grow. Rather, the team identity comes out of mutual respect among its members and a trust between leaders and subordinates. That bond between leaders and subordinates likewise springs from mutual respect as well as from discipline. The highest form of discipline is the willing obedience of

subordinates who trust their leaders, understand and believe in the mission's purpose, value the team and their place in it, and have the will to see the mission through. This form of discipline produces individuals and teams who—in the really tough moments—come up with solutions themselves.

### Soldiers Are Our Credentials

In September 1944 on the Cotentin Peninsula in France, the commander of a German stronghold under siege by an American force sent word that he wanted to discuss surrender terms. German MG Hermann Ramcke was in his bunker when his staff escorted the assistant division commander of the US 8th Infantry Division down the concrete stairway to the underground headquarters. MG Ramcke addressed BG Charles D. W. Canham through an interpreter: "I am to surrender to you. Let me see your credentials." Pointing to the dirty, tired, disheveled—but victorious—American infantrymen who had accompanied him and were now crowding the dugout entrance, the American officer replied, "These are my credentials."

### DISCIPLINE

*I am confident that an army of strong individuals, held together by a sound discipline based on respect for personal initiative and rights and dignity of the individual, will never fail this nation in time of need.*

General J. Lawton Collins  
Former Army Chief of Staff

3-7. People are our most important resource; soldiers are in fact our "credentials." Part of knowing how to use this most precious resource is understanding the stresses and demands that influence people.

3-8. One sergeant major has described discipline as "a moral, mental, and physical state in which all ranks respond to the will of the [leader], whether he is there or not." Disciplined people take the right action, even if they don't feel like it. True discipline demands habitual and reasoned obedience, an obedience that preserves initiative and works, even when the leader isn't around. Soldiers and DA civilians who understand the purpose of the mission, trust the leader, and share Army values will do the right thing because they're truly committed to the organization.

3-9. Discipline doesn't just mean barking orders and demanding an instant response—it's more complex than that. You build discipline by training to standard, using rewards and punishment judiciously, instilling confidence in and building trust among team members, and creating a knowledgeable collective will. The confidence, trust, and collective will of a disciplined, cohesive unit is crucial in combat.

3-10. You can see the importance of these three characteristics in an example that occurred during the 3 October 1993 American raid in Somalia. One soldier kept fighting despite his wounds. His comrades remembered that he seemed to stop caring about himself, that he had to keep fighting because the other guys—his buddies—were all that mattered. When things go badly, soldiers draw strength from their own and their unit's discipline; they know that other members of the team are depending on them.

3-11. Soldiers—like those of Task Force Ranger in Somalia (which you'll read about later in this chapter) and SGT Alvin York (whose story is in Chapter 5)—persevere in tough situations. They fight through because

they have confidence in themselves, their buddies, their leaders, their equipment, and their training—and because they have discipline and will. A young sergeant who participated in Operation Uphold Democracy in Haiti in 1994 asserted this fact when interviewed by the media. The soldier said that operations went well because his unit did things just the way they did them in training and that his training never let him down.

3-12. Even in the most complex operations, the performance of the Army comes down to the training and disciplined performance of individuals and teams on the ground. One example of this fact occurred when a detachment of American soldiers was sent to guard a television tower in Udrigovo, Bosnia-Herzegovina.

3-13. After the soldiers had assumed their posts, a crowd of about 100 people gathered, grew to about 300, and began throwing rocks at the Americans. However, the soldiers didn't overreact. They prevented damage to the tower without creating an international incident. There was no "Boston Massacre" in Udrigovo. The discipline of American soldiers sent into this and other highly volatile situations in Bosnia kept the lid on that operation. The bloody guerrilla war predicted by some didn't materialize. This is a testament to the professionalism of today's American soldiers—your soldiers—and the quality of their leaders—you.

### MORALE

*NSDQ [Night Stalkers Don't Quit]*

Motto of the 160th Special Operations Aviation Regiment, "The Night Stalkers"  
Message sent by Chief Warrant Officer Mike Durant, held by Somali guerrillas, to his wife, October 1993

3-14. When military historians discuss great armies, they write about weapons and equipment, training and the national cause. They may mention sheer numbers (Voltaire said, "God is always on the side of the heaviest battalions") and all sorts of other things that can be analyzed, measured, and compared. However, some also write about another factor equally important to success in battle, something that can't be measured: the emotional element called morale.

3-15. Morale is the human dimension's most important intangible element. It's a measure of how people feel about themselves, their team, and their leaders. High morale comes from good leadership, shared hardship, and mutual respect. It's an emotional bond that springs from common values like loyalty to fellow soldiers and a belief that the organization will care for families. High morale results in a cohesive team that enthusiastically strives to achieve common goals. Leaders know that morale, the essential human element, holds the team together and keeps it going in the face of the terrifying and dispiriting things that occur in war.

*You have a comradeship, a rapport that you'll never have again...There's no competitiveness, no money values. You trust the man on your left and your right with your life.*

Captain Audie Murphy  
Medal of Honor recipient and most decorated American soldier of World War II

### TAKING CARE OF SOLDIERS

*Readiness is the best way of truly taking care of soldiers.*

Former Sergeant Major of the Army  
Richard A. Kidd

3-16. Sending soldiers in harm's way, into places where they may be killed or wounded, might seem to contradict all the emphasis on taking care of soldiers. Does it? How can you truly care for your comrades and send them on missions that might get them killed? Consider this important and fundamental point as you read the next few paragraphs.

3-17. Whenever the talk turns to what leaders do, you'll almost certainly hear someone say, "Take care of your soldiers." And that's good advice. In fact, if you add one more clause, "Accomplish the mission *and* take care of your soldiers," you have guidance for a career. But "taking care of soldiers" is one of those slippery phrases, like the word "honor," that lots of people talk about but few take the trouble to explain. So what does taking care of soldiers mean?

3-18. Taking care of soldiers means creating a disciplined environment where they can learn and grow. It means holding them to high standards, training them to do their jobs so they can function in peace and win in war. You take care of soldiers when you treat them fairly, refuse to cut corners, share their hardships, and set the example. Taking care of soldiers encompasses everything from making sure a soldier has time for an annual dental exam to visiting off-post housing to make sure it's adequate. It also means providing the family support that assures soldiers their families will be taken care of, whether the soldier is home or deployed. Family support means ensuring there's a support group in place, that even the most junior soldier and most inexperienced family members know where to turn for help when their soldier is deployed.

3-19. Taking care of soldiers also means demanding that soldiers do their duty, even

at the risk of their lives. It doesn't mean coddling them or making training easy or comfortable. In fact, that kind of training can get soldiers killed. Training must be rigorous and as much like combat as is possible while being safe. Hard training is one way of preparing soldiers for the rigors of combat. Take care of soldiers by giving them the training, equipment, and support they need to keep them alive in combat.

3-20. In war, soldiers' comfort is important because it affects morale and combat effectiveness, but comfort takes a back seat to the mission. Consider this account of the 1944 landings on the island of Leyte in the Philippines, written more than 50 years later by Richard Gerhardt. Gerhardt, who was an 18-year-old rifleman in the 96th Infantry Division, survived two amphibious landings and months of close combat with the Japanese.

### The 96th Division on Leyte

By the time we reached the beach, the smoke and dust created by the preparation fire had largely dissipated and we could see the terrain surrounding the landing area, which was flat and covered with some underbrush and palm trees. We were fortunate in that our sector of the beach was not heavily defended, and in going ashore there were few casualties in our platoon. Our company was engaged by small arms fire and a few mortar rounds, but we were able to move forward and secure the landing area in short order. Inland from the beach, however, the terrain turned into swamps, and as we moved ahead it was necessary to wade through muck and mud that was knee-deep at times....Roads in this part of the island were almost nonexistent, with the area being served by dirt trails around the swamps, connecting the villages....The Japanese had generally backed off the beaches and left them lightly defended, setting up their defense around certain villages which were at the junctions of the road system, as well as dug-in positions at points along the roads and trails. Our strategy was to...not use the roads and trails, but instead to move through the swamps and rice paddies and attack the enemy strong points from directions not as strongly defended. This was slow, dirty, and extremely fatiguing, but by this tactic we reduced our exposure to the enemy defensive plan, and to heavy fire from their strong points. It must be recognized that in combat the comfort of the front-line troops isn't part of the...planning process, but only what they can endure and still be effective. Conditions that seriously [affect] the combat efficiency of the troops then become a factor.



3-21. Gerhardt learned a lifetime's worth of lessons on physical hardship in the Pacific. Mud, tropical heat, monsoon rains, insects, malaria, Japanese snipers, and infiltrators—the details are still clear in his mind half a century later. Yet he knows—and he tells you—that soldiers must endure physical hardship when the best plan calls for it. In the Leyte campaign, the best plan was extremely difficult to execute, but it was tactically sound and it saved lives.

3-22. This concept doesn't mean that leaders sit at some safe, dry headquarters and make plans without seeing what their soldiers are

going through, counting on them to tough out any situation. Leaders know that graphics on a map symbolize soldiers going forward to fight. Leaders get out with the soldiers to see and feel what they're experiencing as well as to influence the battle by their presence. (Gerhardt and numerous other front-line writers refer to the rear echelon as "anything behind my fox-hole.") Leaders who stay a safe distance from the front jeopardize operations because they don't know what's going on. They risk destroying their soldiers' trust, not to mention their unit.

### The K Company Visit

1LT Harold Leinbaugh, commander of K Company, 333d Infantry Regiment, 84th Division, related this experience from the ETO in January, 1945, during the coldest winter in Europe in nearly 50 years:

On a front-line visit, the battalion commander criticized 1LT Leinbaugh and CPT Jay Prophet, the A Company Commander, for their own and their men's appearance. He said it looked like no one had shaved for a week. 1LT Leinbaugh replied that there was no hot water. Sensing a teaching moment, the colonel responded: "Now if you men would save some of your morning coffee it could be used for shaving." Stepping over to a snowbank, 1LT Leinbaugh picked up a five-gallon GI [general issue] coffee can brought up that morning, and shook it in the colonel's face. The frozen coffee produced a thunk. 1LT Leinbaugh shook it again.

"That's enough," said the colonel, "...I can hear."

3-23. This example illustrates three points:

- The importance of a leader going to where the action is to see and feel what's really going on.
- The importance of a first-line leader telling the boss something he doesn't want to hear.
- The importance of a leader accepting information that doesn't fit his preconceived notions.

3-24. Soldiers are extremely sensitive to situations where their leaders are not at risk, and they're not likely to forget a mistake by a leader they haven't seen. Leaders who are out with their soldiers—in the same rain or snow, under the same blazing sun or in the same dark night, under the same threat of enemy artillery

or small arms fire—will not fall into the trap of ignorance. Those who lead from the front can better motivate their soldiers to carry on under extreme conditions.

3-25. Taking care of soldiers is every leader's business. A DA civilian engineering team chief volunteered to oversee the installation of six Force Provider troop life support systems in the vicinity of Tuzla, Bosnia-Herzegovina. Using organizational skills, motivational techniques, and careful supervision, the team chief ensured that the sites were properly laid out, integrated, and installed. As a result of thorough planning and the teamwork the DA civilian leader generated, the morale and quality of life of over 5,000 soldiers were significantly improved.

## COMBAT STRESS

*All men are frightened. The more intelligent they are, the more they are frightened. The courageous man is the man who forces himself, in spite of his fear, to carry on.*

General George S. Patton Jr.  
*War As I Knew It*

3-26. Leaders understand the human dimension and anticipate soldiers' reactions to stress, especially to the tremendous stress of combat. The answers may look simple as you sit somewhere safe and read this manual, but be sure easy answers don't come in combat. However, if you think about combat stress and its effects on you and your soldiers ahead of time, you'll be less surprised and better

prepared to deal with and reduce its effects. It takes mental discipline to imagine the unthinkable—the plan going wrong, your soldiers wounded or dying, and the enemy coming after YOU. But in combat all of these things can happen, and your soldiers expect you, their leader, to have thought through each of them. Put yourself in the position of the squad leader in the following example.

### Task Force Ranger in Somalia, 1993

"Sarge" was a company favorite, a big powerful kid from New Jersey who talked with his hands and played up his "Joy-zee" accent. He loved practical jokes. One of his favorites was to put those tiny charges in guys' cigarettes, the kind that would explode with a loud "POP!" about halfway through a smoke. If anyone else had done it, it would have been annoying; Sarge usually got everyone to laugh—even the guy whose cigarette he destroyed.

During the 3 October 1993 raid in Mogadishu, Sarge was manning his Humvee's .50 cal when he was hit and killed. The driver and some of the guys in back screamed, "He's dead! He's dead!" They panicked and were not responding as their squad leader tried to get someone else up and behind the gun. The squad leader had to yell at them, "Just calm down! We've got to keep fighting or none of us will get back alive."

3-27. Consider carefully what the squad leader did. First he told his squad to calm down. Then he told them why it was important: they had to continue the fight if they wanted to make it back to their base alive. In this way he jerked his soldiers back to a conditioned response, one that had been drilled during training and that took their minds off the loss. The squad leader demonstrated the calm, reasoned leadership under stress that's critical to mission success. In spite of the loss, the unit persevered.

### WILL AND WINNING IN BATTLE

3-28. The Army's ultimate responsibility is to win the nation's wars. And what is it that carries soldiers through the terrible challenges of combat? It's the will to win, the ability to gut it out when things get really tough, even when

things look hopeless. It's the will not only to persevere but also to find workable solutions to the toughest problems. This drive is part of the warrior ethos, the ability to forge victory out of the chaos of battle—to overcome fear, hunger, deprivation, and fatigue and accomplish the mission. And the will to win serves you just as well in peacetime, when it's easy to become discouraged, feel let down, and spend your energy complaining instead of using your talents to make things better. Discipline holds a team together; the warrior ethos motivates its members—you and your people—to continue the mission.

3-29. All soldiers are warriors: all need to develop and display the will to win—the desire to do their job well—to persevere, no matter what the circumstances. The Army is a team, and all

members' contributions are essential to mission accomplishment. As an Army leader, you're responsible for developing this sense of belonging in your subordinates. Not only that; it's your job to inculcate in your people the winning spirit—the commitment to do their part to accomplish the mission, no matter when, no matter where, no matter what.

3-30. Army operations often involve danger and therefore fear. Battling the effects of fear has nothing to do with denying it and everything to do with recognizing fear and handling it. Leaders let their subordinates know, "You can expect to be afraid; here's what we'll do about it." The Army standard is to continue your mission to successful completion, as GEN Patton said, in spite of your fears. But saying this isn't going to make it happen. Army leaders expect fear to take hold when things go poorly, setbacks occur, the unit fails to complete a mission, or there are casualties. The sights and sounds of the modern battlefield are terrifying. So is fear of the unknown. Soldiers who see their buddies killed or wounded suddenly have a greater burden: they become aware of their own mortality. On top of all these obvious sources of fear is the insecurity before battle that many veterans have written about: "Will I perform well or will I let my buddies down?"

3-31. In the October 1993 fight in Somalia, one soldier who made it back to the safety of the American position was told to prepare to go back out; there were other soldiers in trouble. He had just run a gauntlet of fire, had just seen his friends killed and wounded, and was understandably afraid. "I can't go back out there," he told his sergeant. The leader reassured the soldier while reminding him of the mission and his responsibility to the team: "I know you're scared...I'm scared...I've never been in a situation like this, either. But we've got to go. It's our job. The difference between being a coward

and a man isn't whether you're scared; it's what you do while you're scared." That frightened soldier probably wasn't any less afraid, but he climbed back on the vehicle and went out to rescue the other American soldiers.

3-32. Will and a winning spirit apply in more situations than those requiring physical courage; sometimes you'll have to carry on for long periods in very difficult situations. The difficulties soldiers face may not be ones of physical danger, but of great physical, emotional, and mental strain. Physical courage allowed the soldier in the situation described above to return to the fight; will allowed his leader to say the right thing, to influence his frightened subordinate to do the right thing. Physical courage causes soldiers to charge a machine gun; will empowers them to fight on when they're hopelessly outnumbered, under appalling conditions, and without basic necessities.

### **STRESS IN TRAINING**

*When the bullets started flying...I never thought about half the things I was doing. I simply relied on my training and concentrated on the mission.*

Captain Marie Bezubic  
Operation Just Cause, Panama

3-33. Leaders must inject stress into training to prepare soldiers for stress in combat. However, creating a problem for subordinates and having them react to it doesn't induce the kind of stress required for combat training. A meaningful and productive mission, given with detailed constraints and limitations plus high standards of performance, does produce stress. Still, leaders must add unanticipated conditions to that stress to create a real learning environment. Sometimes, you don't even have to add stress; it just happens, as in this example.

### Mix-up at the Crossroads

A young transportation section chief was leading a convoy of trucks on a night move to link up with several rifle companies. He was to transport the infantry to a new assembly area. When a sudden rainstorm dropped visibility to near zero, the section chief was especially glad that he had carefully briefed his drivers, issued strip maps, and made contingency plans. At a road intersection, his northbound convoy passed through an artillery battery moving east. When his convoy reached the rendezvous and the section chief got out to check his vehicles, he found he was missing two of his own trucks but had picked up three others towing howitzers. The tired and wet infantry commander was concerned that his unit would be late crossing the line of departure and forcefully expressed that concern to the section chief. The section chief now had to accomplish the same mission with fewer resources as well as run down his lost trucks and soldiers. There was certainly enough stress to go around.

After the section chief sent one of his most reliable soldiers with the artillery vehicles to find his missing trucks, he started shuttling the infantrymen to their destination. Later, after the mission was accomplished, the section chief and his drivers talked about what had happened. The leader admitted that he needed to supervise a convoy more closely under difficult conditions, and his soldiers recognized the need to follow the part of the unit SOP concerning reduced visibility operations.

3-34. The section chief fixed the immediate problem by starting to shuttle the infantry soldiers in the available trucks. During the AAR with the drivers, the leader admitted a mistake and figured out how to prevent similar errors in

the future. The section chief also let the team know that sometimes, in spite of the best plans, things go wrong. A well-trained organization doesn't buckle under stress but deals with any setbacks and continues the mission.

## THE STRESS OF CHANGE

3-35. Since the end of the Cold War, the Army has gone through tremendous change—dramatic decreases in the number of soldiers and DA civilians in all components, changes in assignment policies, base closings, and a host of other shifts that put stress on soldiers, DA civilians, and families. In those same years, the number of deployments to support missions such as peace operations and nation assistance has increased. And these changes have occurred in a peacetime Army. At the same time, Army leaders have had to prepare their soldiers for the stresses of combat, the ultimate crucible.

3-36. The stresses of combat you read about earlier in this chapter are classic: they've been the same for centuries. However, there's an aspect of the human dimension that has assumed an increasing importance: the effect of technological advances on organizations and people. Military leaders have always had to deal with the effect of technological changes. What's different today is the rate at which technology, to

include warfighting technology, is changing. Rapid advances in new technologies are forcing the Army to change many aspects of the way it operates and are creating new leadership challenges.

### TECHNOLOGY AND LEADERSHIP

3-37. Technology's presence challenges all Army leaders. Technology is here to stay and you, as an Army leader, need to continually learn how to manage it and make it work for you. The challenges come from many directions. Among them—

- You need to learn the strengths and vulnerabilities of the different technologies that support your team and its mission.
- You need to think through how your organization will operate with organizations that are less or more technologically complex. This situation may take the form of heavy and light Army units working together, operating with elements of another service, or

cooperating with elements of another nation's armed forces.

- You need to consider the effect of technology on the time you have to analyze problems, make a decision, and act. Events happen faster today, and the stress you encounter as an Army leader is correspondingly greater.

Technological advances have the potential to permit better and more sustainable operations. However, as an Army leader you must remember the limitations of your people. No matter what technology you have or how it affects your mission, it's still your soldiers and DA civilians—their minds, hearts, courage, and talents—that will win the day.

3-38. Advances in electronic data processing let you handle large amounts of information easily. Today's desktop computer can do more, and do it faster, than the room-sized computers of only 20 years ago. Technology is a powerful tool—if you understand its potential uses and limitations. The challenge for all Army leaders is to overcome confusion on a fast-moving battlefield characterized by too much information coming in too fast.

3-39. Army leaders and staffs have always needed to determine mission-critical information, prioritize incoming reports, and process them quickly. The volume of information that current technology makes available makes this skill even more important than in the past. Sometimes something low-tech can divert the flood of technological help into channels the leader and staff can manage. For example, a well-understood commander's intent and thought-through commander's critical information requirements (CCIR) can help free leaders from nonessential information while pushing decisions to lower levels. As an Army leader, you must work hard to overcome the attractiveness and potential pitfalls of centralized decision making that access to information will appear to make practical.

3-40. Technology is also changing the size of the battlefield and the speed of battle. Instant global communications are increasing the pace of military actions. Global positioning systems and night vision capabilities mean the Army

can fight at night and during periods of limited visibility—conditions that used to slow things down. Continuous operations increase the mental and physical stress on soldiers and leaders. Nonlinear operations make it more difficult for commanders to determine critical points on the battlefield. Effective leaders develop techniques to identify and manage stress well before actual conflict occurs. They also find ways to overcome the soldier's increased sense of isolation that comes with the greater breadth and depth of the modern battlefield. (FM 100-34 discusses continuous operations. FM 22-51 discusses combat stress control.)

3-41. Modern technology has also increased the number and complexity of skills the Army requires. Army leaders must carefully manage low-density specialties. They need to ensure that critical positions are filled and that their people maintain perishable skills. Army leaders must bring together leadership, personnel management, and training management to ensure their organizations are assigned people with the right specialties and that the entire organization is trained and ready. On top of this, the speed and lethality of modern battle have made mental agility and initiative even more necessary for fighting and winning. As in the past, Army leaders must develop these attributes in their subordinates.

3-42. To some, technology suggests a bloodless battlefield that resembles a computer war game more than the battlefields of the past. That isn't true now and it won't be true in the immediate future. Technology is still directed at answering the same basic questions that Civil War leaders tried to answer when they sent out a line of skirmishers: Where am I? Where are my buddies? Where is the enemy? How do I defeat him? Armed with this information, the soldiers and DA civilians of the Army will continue to accomplish the mission with character, using their technological edge to do the job better, faster, and smarter.

3-43. Modern digital technology can contribute a great deal to the Army leader's understanding of the battlefield; good leaders stay abreast of advances that enhance their tactical abilities. Digital technology has a lot to offer, but don't be



fooled. A video image of a place, an action, or an organization can never substitute for the leader's getting down on the ground with the soldiers to find out what's going on. Technology can provide a great deal of information, but it may not present a completely accurate picture. The only way leaders can see the urgency in the faces of their soldiers is to get out and see them. As with any new weapon, the Army leader must know how to use technology without being seduced by it. Technology may be invaluable; however, effective leaders understand its limits.

3-44. Whatever their feeling regarding technology, today's leaders must contend more and more with an increased information flow and operational tempo (OPTEMPO). Pressures to make a decision increase, even as the time to verify and validate information decreases. Regardless of the crunch, Army leaders are responsible for the consequences of their decisions, so they gather, process, analyze, evaluate—and check—information. If they don't, the costs can be disastrous. (FM 100-34 discusses information management and decision making.)

### **“Superior Technology”**

In the late fall of 1950, as United Nations (UN) forces pushed the North Korean People's Army northward, the People's Republic of China prepared to enter the conflict in support of its ally. The UN had air superiority, a marked advantage that had contributed significantly to the UN tactical and operational successes of the summer and early fall. Nonetheless, daily reconnaissance missions over the rugged North Korean interior failed to detect the Chinese People's Liberation Army's movement of nearly a quarter of a million ground troops across the border and into position in the North Korean mountains.

When the first reports of Chinese soldiers in North Korea arrived at Far East Command in Tokyo, intelligence analysts ignored them because they contradicted the information provided by the latest technology—aerial surveillance. Tactical commanders failed to send ground patrols into the mountains. They assumed the photos gave an accurate picture of the enemy situation when, in fact, the Chinese were practicing strict camouflage discipline. When the Chinese attacked in late November, UN forces were surprised, suffered heavy losses, and were driven from the Chinese border back to the 38th parallel.

When GEN Matthew B. Ridgway took over the UN forces in Korea in December, he immediately visited the headquarters of every regiment and many of the battalions on the front line. This gave GEN Ridgway an unfiltered look at the situation, and it sent a message to all his commanders: get out on the ground and find out what's going on.

3-45. The Chinese counterattack undid the results of the previous summer's campaign and denied UN forces the opportunity for a decisive victory that may have ended the war. The UN forces, under US leadership, enjoyed significant technological advantages over the Chinese. However, failure to verify the information provided by aerial photography set this advantage to zero. And this failure was one of leadership, not technology. Questioning good news provided by the latest “gee-whiz” system and ordering reconnaissance patrols to go out in lousy weather both require judgment and moral

courage: judgment as to when a doubt is reasonable and courage to order soldiers to risk their lives in cold, miserable weather. But Army leaders must make those judgments and give those orders. Technology has not changed that.

3-46. Technology and making the most of it will become increasingly important. Today's Army leaders require systems understanding and more technical and tactical skills. Technical skill: What does this system do? What does it not do? What are its strengths? What are its weaknesses? What must I check? Tactical skill:

How do this system's capabilities support my organization? How should I employ it to support this mission? What must I do if it fails? There's a fine line between a healthy questioning of new systems' capabilities and an unreasoning hostility that rejects the advantages technology offers. You, as an Army leader, must stay on the right side of that line, the side that allows you to maximize the advantages of technology. You need to remain aware of its capabilities and shortcomings, and you need to make sure your people do as well.

### **LEADERSHIP AND THE CHANGING THREAT**

3-47. Another factor that will have a major impact on Army leadership in the near future is the changing nature of the threat. For the Army, the twenty-first century began in 1989 with the fall of the Berlin Wall and subsequent collapse of the Soviet Union. America no longer defines its security interests in terms of a single, major threat. Instead, it faces numerous, smaller threats and situations, any of which can quickly mushroom into a major security challenge.

3-48. The end of the Cold War has increased the frequency and variety of Army missions. Since 1989, the Army has fought a large-scale land war and been continually involved in many different kinds of stability operations and support operations. There has been a greater demand for special, joint, and multinational operations as well. Initiative at all levels is becoming more and more important. In many instances, Army leaders on the ground have had to invent ways of doing business for situations they could not have anticipated.

3-49. Not only that, the importance of direct leaders—NCOs and junior officers—making the right decisions in stressful situations has increased. Actions by direct-level leaders—sergeants, warrant officers, lieutenants, and captains—can have organizational- and

strategic-level implications. Earlier in this chapter, you read about the disciplined soldiers and leaders who accomplished their mission of securing a television tower in Udrigovo, Bosnia-Herzegovina. In that case, the local population's perception of how American soldiers secured the tower was just as important as securing the tower itself. Had the American detachment created an international incident by using what could have been interpreted as excessive force, maintaining order throughout Bosnia Herzegovina would have become more difficult. The Army's organizational and strategic leaders count on direct leaders. It has always been important to accomplish the mission the right way the first time; today it's more important than ever.

3-50. The Army has handled change in the past. It will continue to do so in the future as long as Army leaders emphasize the constants—Army values, teamwork, and discipline—and help their people anticipate change by seeking always to improve. Army leaders explain, to the extent of their knowledge and in clear terms, what may happen and how the organization can effectively react if it does. Change is inevitable; trying to avoid it is futile. The disciplined, cohesive organization rides out the tough times and will emerge even better than it started. Leadership, in a very real sense, includes managing change and making it work for you. To do that, you must know what to change and what not to change.

3-51. FM 100-5 provides a doctrinal framework for coping with these challenges while executing operations. It gives Army leaders clues as to what they will face and what will be required of them, but as COL Chamberlain found on Little Round Top, no manual can cover all possibilities. The essence of leadership remains the same: Army leaders create a vision of what's necessary, communicate it in a way that makes their intent clear, and vigorously execute it to achieve success.

## CLIMATE AND CULTURE

3-52. Climate and culture describe the environment in which you lead your people. Culture refers to the environment of the Army as an institution and of major elements or communities within it. Strategic leaders maintain the Army's institutional culture. (Chapter 7 discusses their role.) Climate refers to the environment of units and organizations. All organizational and direct leaders establish their organization's climate, whether purposefully or unwittingly. (Chapters 5 and 6 discuss their responsibilities.)

### CLIMATE

3-53. Taking care of people and maximizing their performance also depends on the climate a leader creates in the organization. An organization's climate is the way its members feel about their organization. Climate comes from people's shared perceptions and attitudes, what they believe about the day-to-day functioning of their outfit. These things have a great impact on their motivation and the trust they feel for their team and their leaders. Climate is generally short-term: it depends on a network of the personalities in a small organization. As people come and go, the climate changes. When a soldier says "My last platoon sergeant was pretty good, but this new one is great," the soldier is talking about one of the many elements that affect organizational climate.

3-54. Although such a call seems subjective, some very definite things determine climate. The members' collective sense of the organization—its organizational climate—is directly attributable to the leader's values, skills, and actions. As an Army leader, you establish the climate of your organization, no matter how

small it is or how large. Answering the following questions can help you describe an organization's climate:

- Does the leader set clear priorities and goals?
- Is there a system of recognition, rewards and punishments? Does it work?
- Do the leaders know what they're doing? Do they admit when they're wrong?
- Do leaders seek input from subordinates? Do they act on the feedback they're provided?
- In the absence of orders, do junior leaders have authority to make decisions that are consistent with the leader's intent?
- Are there high levels of internal stress and negative competition in the organization? If so, what's the leader doing to change that situation?
- Do the leaders behave the way they talk? Is that behavior consistent with Army values? Are they good role models?
- Do the leaders lead from the front, sharing hardship when things get tough?
- Do leaders talk to their organizations on a regular basis? Do they keep their people informed?

3-55. Army leaders who do the right things for the right reasons—even when it would be easier to do the wrong thing—create a healthy organizational climate. In fact, it's the leader's behavior that has the greatest effect on the organizational climate. That behavior signals to every member of the organization what the leader will and will not tolerate. Consider this example.



### Changing a Unit Climate—The New Squad Leader

SSG Withers was having a tough week. He had just been promoted to squad leader in a different company; he had new responsibilities, new leaders, and new soldiers. Then, on his second day, his unit was alerted for a big inspection in two days. A quick check of the records let him know that the squad leader before him had let maintenance slip; the records were sloppy and a lot of the scheduled work had not been done. On top of that, SSG Withers was sure his new platoon sergeant didn't like him. SFC King was professional but gruff, a person of few words. The soldiers in SSG Withers' squad seemed a little afraid of the platoon sergeant.

After receiving the company commander's guidance about the inspection, the squad leaders briefed the platoon sergeant on their plans to get ready. SSG Withers had already determined that he and his soldiers would have to work late. He could have complained about his predecessor, but he thought it would be best just to stick to the facts and talk about what he had found in the squad. For all he knew, the old squad leader might have been a favorite of SFC King.

SFC King scowled as he asked, "You're going to work late?"

SSG Withers had checked his plan twice: "Yes, sergeant. I think it's necessary."

SFC King grunted, but the sound could have meant "okay" or it could have meant "You're being foolish." SSG Withers wasn't sure.

The next day SSG Withers told his soldiers what they would have to accomplish. One of the soldiers said that the old squad leader would have just fudged the paperwork. "No kidding," SSG Withers thought. He wondered if SFC King knew about it. Of course, there was a good chance he would fail the inspection if he didn't fudge the paperwork—and wouldn't *that* be a good introduction to the new company? But he told his squad that they would do it right: "We'll do the best we can. If we don't pass, we'll do better next time."

SSG Withers then asked his squad for their thoughts on how to get ready. He listened to their ideas and offered some of his own. One soldier suggested that they could beat the other squads by sneaking into the motor pool at night and lowering the oil levels in their vehicles. "SFC King gives a half day off to whatever squad does best," the soldier explained. SSG Withers didn't want to badmouth the previous squad leader; on the other hand, the squad was his responsibility now. "It'd be nice to win," SSG Withers said, "but we're not going to cheat."

The squad worked past 2200 hours the night before the inspection. At one point SSG Withers found one of the soldiers sleeping under a vehicle. "Don't you want to finish and go home to sleep?" he asked the soldier.

"I...uh...I didn't think you'd still be here," the soldier answered.

"Where else would I be?" replied the squad leader.

The next day, SFC King asked SSG Withers if he thought his squad's vehicle was going to pass the inspection.

"Not a chance," SSG Withers said.

SFC King gave another mysterious grunt.

Later, when the inspector was going over his vehicle, SSG Withers asked if his soldiers could follow along. "I want them to see how to do a thorough inspection," he told the inspector. As the soldiers followed the inspector around and learned how to look closely at the vehicle, one of them commented that the squad had never been around for any inspection up to that point. "We were always told to stay away," he said.

Later, when the company commander went over the results of the inspection, he looked up at SSG Withers as he read the failing grade. SSG Withers was about to say, "We'll try harder next time, sir," but he decided that sounded lame, so he said nothing. Then SFC King spoke up.

"First time that squad has ever failed an inspection," the platoon sergeant said, "but they're already better off than they were the day before yesterday, failing grade and all."

3-56. SFC King saw immediately that things had changed for the better in SSG Withers' squad. The failing grade was real; previous passing grades had not been. The new squad leader told the truth and expected his soldiers to do the same. He was there when his people were working late. He acted to improve the squad's ethical and performance standards (by clearly stating and enforcing them). He moved to teach his soldiers the skills and standards associated with vehicle maintenance (by asking the inspector to show them how to look at a vehicle). And not once did SSG Withers whine that the failing grade was not his fault; instead, he focused on how to make things better. SSG Withers knew how to motivate soldiers to perform to standard and had the strength of character to do the right thing. In addition, he trusted the chain of command to take the long-term view. Because of his decisive actions, based on his character and competence, SSG Withers was well on his way to creating a much healthier climate in his squad.

3-57. No matter how they complain about it, soldiers and DA civilians expect to be held to standard; in the long run they feel better about themselves when they do hard work successfully. They gain confidence in leaders who help them achieve standards and lose confidence in leaders who don't know the standards or who fail to demand performance.

### CULTURE

*When you're first sergeant, you're a role model whether you know it or not. You're a role model for the guy that will be in your job. Not next month or next year, but ten years from now. Every day soldiers are watching you and deciding if you are the kind of first sergeant they want to be.*

An Army First Sergeant  
1988

3-58. Culture is a longer lasting, more complex set of shared expectations than climate. While climate is how people feel about their organization right now, culture consists of the shared attitudes, values, goals, and practices that characterize the larger institution. It's deeply rooted in long-held beliefs, customs, and

practices. For instance, the culture of the armed forces is different from that of the business world, and the culture of the Army is different from that of the Navy. Leaders must establish a climate consistent with the culture of the larger institution. They also use the culture to let their people know they're part of something bigger than just themselves, that they have responsibilities not only to the people around them but also to those who have gone before and those who will come after.

3-59. Soldiers draw strength from knowing they're part of a tradition. Most meaningful traditions have their roots in the institution's culture. Many of the Army's everyday customs and traditions are there to remind you that you're just the latest addition to a long line of American soldiers. Think of how much of your daily life connects you to the past and to American soldiers not yet born: the uniforms you wear, the martial music that punctuates your day, the way you salute, your title, your organization's history, and Army values such as selfless service. Reminders of your place in history surround you.

3-60. This sense of belonging is vitally important. Visit the Vietnam Memorial in Washington, DC, some Memorial Day weekend and you'll see dozens of veterans, many of them wearing bush hats or campaign ribbons or fatigue jackets decorated with unit patches. They're paying tribute to their comrades in this division or that company. They're also acknowledging what for many of them was the most intense experience of their lives.

3-61. Young soldiers want to belong to something bigger than themselves. Look at them off duty, wearing tee shirts with names of sports teams and famous athletes. It's not as if an 18-year-old who puts on a jacket with a professional sports team's logo thinks anyone will mistake him for a professional player; rather, that soldier wants to be associated with a winner. Advertising and mass media make heroes of rock stars, athletes, and actors. Unfortunately, it's easier to let some magazine or TV show tell you whom to admire than it is to dig up an organization's history and learn about heroes.

3-62. Soldiers want to have heroes. If they don't know about SGT Alvin York in World War I, about COL Joshua Chamberlain's 20th Maine during the Civil War, about MSG Gary Gordon and SFC Randall Shughart in the 1993 Somalia fight, then it's up to you, their leaders, to teach them. (The bibliography lists works you can use to learn more about your profession, its history, and the people who made it.)

3-63. When soldiers join the Army, they become part of a history: the Big Red One, the King of Battle, Sua Sponte. Teach them the history behind unit crests, behind greetings, behind decorations and badges. The Army's culture isn't something that exists apart from you; it's part of who you are, something you can use to give your soldiers pride in themselves and in what they're doing with their lives.

## LEADERSHIP STYLES

3-64. You read in Chapter 2 that all people are shaped by what they've seen, what they've learned, and whom they've met. Who you are determines the way you work with other people. Some people are happy and smiling all the time; others are serious. Some leaders can wade into a room full of strangers and inside of five minutes have everyone there thinking, "How have I lived so long without meeting this person?" Other very competent leaders are uncomfortable in social situations. Most of us are somewhere in between. Although Army leadership doctrine describes at great length how you should interact with your subordinates and how you must strive to learn and improve your leadership skills, the Army recognizes that you must always be yourself; anything else comes across as fake and insincere.

3-65. Having said that, effective leaders are flexible enough to adjust their leadership style and techniques to the people they lead. Some subordinates respond best to coaxing, suggestions, or gentle prodding; others need, and even want at times, the verbal equivalent of a kick in the pants. Treating people fairly doesn't mean treating people as if they were clones of one another. In fact, if you treat everyone the same way, you're probably being unfair, because different people need different things from you.

3-66. Think of it this way: Say you must teach map reading to a large group of soldiers ranging in rank from private to senior NCO. The senior NCOs know a great deal about the subject, while the privates know very little. To meet all their needs, you must teach the privates more than you teach the senior NCOs. If you train

the privates only in the advanced skills the NCOs need, the privates will be lost. If you make the NCOs sit through training in the basic tasks the privates need, you'll waste the NCOs' time. You must fit the training to the experience of those being trained. In the same way, you must adjust your leadership style and techniques to the experience of your people and characteristics of your organization.

3-67. Obviously, you don't lead senior NCOs the same way you lead privates. But the easiest distinctions to make are those of rank and experience. You must also take into account personalities, self-confidence, self-esteem—all the elements of the complex mix of character traits that makes dealing with people so difficult and so rewarding. One of the many things that makes your job tough is that, in order to get their best performance, you must figure out what your subordinates need and what they're able to do—even when they don't know themselves.

3-68. When discussing leadership styles, many people focus on the extremes: autocratic and democratic. Autocratic leaders tell people what to do with no explanation; their message is, "I'm the boss; you'll do it because I said so." Democratic leaders use their personalities to persuade subordinates. There are many shades in between; the following paragraphs discuss five of them. However, bear in mind that competent leaders mix elements of all these styles to match to the place, task, and people involved. Using different leadership styles in different situations or elements of different styles in the same situation isn't inconsistent. The opposite is true: if you can use only one leadership style,

you're inflexible and will have difficulty operating in situations where that style doesn't fit.

### **DIRECTING LEADERSHIP STYLE**

3-69. The directing style is leader-centered. Leaders using this style don't solicit input from subordinates and give detailed instructions on how, when, and where they want a task performed. They then supervise its execution very closely.

3-70. The directing style may be appropriate when time is short and leaders don't have a chance to explain things. They may simply give orders: Do this. Go there. Move. In fast-paced operations or in combat, leaders may revert to the directing style, even with experienced subordinates. This is what the motor sergeant you read about in Chapter 1 did. If the leader has created a climate of trust, subordinates will assume the leader has switched to the directing style because of the circumstances.

3-71. The directing style is also appropriate when leading inexperienced teams or individuals who are not yet trained to operate on their own. In this kind of situation, the leader will probably remain close to the action to make sure things go smoothly.

3-72. Some people mistakenly believe the directing style means using abusive or demeaning language or includes threats and intimidation. This is wrong. If you're ever tempted to be abusive, whether because of pressure or stress or what seems like improper behavior by a subordinate, ask yourself these questions: Would I want to work for someone like me? Would I want my boss to see and hear me treat subordinates this way? Would I want to be treated this way?

### **PARTICIPATING LEADERSHIP STYLE**

3-73. The participating style centers on both the leader and the team. Given a mission, leaders ask subordinates for input, information, and recommendations but make the final decision on what to do themselves. This style is especially appropriate for leaders who have time for such consultations or who are dealing with experienced subordinates.

3-74. The team-building approach lies behind the participating leadership style. When subordinates help create a plan, it becomes—at least in part—their plan. This ownership creates a strong incentive to invest the effort necessary to make the plan work. Asking for this kind of input is a sign of a leader's strength and self-confidence. But asking for advice doesn't mean the leader is obligated to follow it; the leader alone is always responsible for the quality of decisions and plans.

### **DELEGATING LEADERSHIP STYLE**

3-75. The delegating style involves giving subordinates the authority to solve problems and make decisions without clearing them through the leader. Leaders with mature and experienced subordinates or who want to create a learning experience for subordinates often need only to give them authority to make decisions, the necessary resources, and a clear understanding of the mission's purpose. As always, the leader is ultimately responsible for what does or does not happen, but in the delegating leadership style, the leader holds subordinate leaders accountable for their actions. This is the style most often used by officers dealing with senior NCOs and by organizational and strategic leaders.

### **TRANSFORMATIONAL AND TRANSACTIONAL LEADERSHIP STYLES**

*A man does not have himself killed for a few halfpence a day or for a petty distinction. You must speak to the soul in order to electrify the man.*

Napoleon Bonaparte

3-76. These words of a distinguished military leader capture the distinction between the transformational leadership style, which focuses on inspiration and change, and the transactional leadership style, which focuses on rewards and punishments. Of course Napoleon understood the importance of rewards and punishments. Nonetheless, he also understood that carrots and sticks alone don't inspire individuals to excellence.



### Transformational Leadership Style

3-77. As the name suggests, the transformational style “transforms” subordinates by challenging them to rise above their immediate needs and self-interests. The transformational style is developmental: it emphasizes individual growth (both professional and personal) and organizational enhancement. Key features of the transformational style include empowering and mentally stimulating subordinates: you consider and motivate them first as individuals and then as a group. To use the transformational style, you must have the courage to communicate your intent and then step back and let your subordinates work. You must also be aware that immediate benefits are often delayed until the mission is accomplished.

3-78. The transformational style allows you to take advantage of the skills and knowledge of experienced subordinates who may have better ideas on how to accomplish a mission. Leaders who use this style communicate reasons for their decisions or actions and, in the process, build in subordinates a broader understanding and ability to exercise initiative and operate effectively. However, not all situations lend themselves to the transformational leadership style. The transformational style is most effective during periods that call for change or present new opportunities. It also works well when organizations face a crisis, instability, mediocrity, or disenchantment. It may not be effective when subordinates are inexperienced, when the mission allows little deviation from accepted procedures, or when subordinates are not motivated. Leaders who use only the transformational leadership style limit their ability to influence individuals in these and similar situations.

### Transactional Leadership Style

3-79. In contrast, some leaders employ only the transactional leadership style. This style includes such techniques as—

- Motivating subordinates to work by offering rewards or threatening punishment.
- Prescribing task assignments in writing.
- Outlining all the conditions of task completion, the applicable rules and regula-

tions, the benefits of success, and the consequences—to include possible disciplinary actions—of failure.

- “Management-by-exception,” where leaders focus on their subordinates’ failures, showing up only when something goes wrong.

The leader who relies exclusively on the transactional style, rather than combining it with the transformational style, evokes only short-term commitment from his subordinates and discourages risk-taking and innovation.

3-80. There are situations where the transactional style is acceptable, if not preferred. For example, a leader who wants to emphasize safety could reward the organization with a three-day pass if the organization prevents any serious safety-related incidents over a two-month deployment. In this case, the leader’s intent appears clear: unsafe acts are not tolerated and safe habits are rewarded.

3-81. However, using only the transactional style can make the leader’s efforts appear self-serving. In this example, soldiers might interpret the leader’s attempt to reward safe practices as an effort to look good by focusing on something that’s unimportant but that has the boss’s attention. Such perceptions can destroy the trust subordinates have in the leader. Using the transactional style alone can also deprive subordinates of opportunities to grow, because it leaves no room for honest mistakes.

3-82. The most effective leaders combine techniques from the transformational and transactional leadership styles to fit the situation. A strong base of transactional understanding supplemented by charisma, inspiration and individualized concern for each subordinate, produces the most enthusiastic and genuine response. Subordinates will be more committed, creative, and innovative. They will also be more likely to take calculated risks to accomplish their mission. Again referring to the safety example, leaders can avoid any misunderstanding of their intent by combining transformational techniques with transactional techniques. They can explain why safety is important (intellectual stimulation) and encourage their subordinates to take care of each other (individualized concern).

## INTENDED AND UNINTENDED CONSEQUENCES

3-83. The actions you take as a leader will most likely have unintended as well as intended consequences. Like a chess player trying to anticipate an opponent's moves three or four turns in advance—if I do this, what will my opponent do; then what will I do next?—leaders think through what they can expect to happen as a result of a decision. Some decisions set off a chain of events; as far as possible, leaders must anticipate the second- and third-order effects of their actions. Even lower-level leaders' actions may have effects well beyond what they expect.

3-84. Consider the case of a sergeant whose team is manning a roadblock as part of a peace operation. The mission has received lots of media attention (Haiti and Bosnia come to mind), and millions of people back home are watching. Early one morning, a truckload of civilians appears, racing toward the roadblock. In the half-light, the sergeant can't tell if the things in the passengers' hands are weapons or farm tools, and the driver seems intent on smashing through the barricade. In the space of a few seconds, the sergeant must decide whether or not to order his team to fire on the truck.

3-85. If the sergeant orders his team to fire because he feels he and his soldiers are threatened, that decision will have international consequences. If he kills any civilians, chances are good that his chain of command from the president on down—not to mention the entire television audience of the developed world—will know about the incident in a few short hours. But the decision is tough for another reason: if the sergeant doesn't order his team to fire and the civilians turn out to be an armed gang, the team may take casualties that could have been avoided. If the only factor involved was avoiding civilian casualties, the choice is simple: don't shoot. But the sergeant must also consider the requirement to protect his force and accomplish the mission of preventing unauthorized traffic from passing the roadblock. So the sergeant must act; he's the leader, and he's in charge. Leaders who have thought through the consequences of possible actions, talked with their own leaders about the

commander's intent and mission priorities, and trust their chain of command to support them are less likely to be paralyzed by this kind of pressure.

### INTENDED CONSEQUENCES

3-86. Intended consequences are the anticipated results of a leader's decisions and actions. When a squad leader shows a team leader a better way to lead PT, that action will have intended consequences: the team leader will be better equipped to do the job. When leaders streamline procedures, help people work smarter, and get the resources to the right place at the right time, the intended consequences are good.

### UNINTENDED CONSEQUENCES

3-87. Unintended consequences are the results of things a leader does that have an unplanned impact on the organization or accomplishment of the mission. Unintended consequences are often more lasting and harder to anticipate than intended consequences. Organizational and strategic leaders spend a good deal of energy considering possible unintended consequences of their actions. Their organizations are complex, so figuring out the effects today's decisions will have a few years in the future is difficult.

3-88. Unintended consequences are best described with an example, such as setting the morning PT formation time: Setting the formation time at 0600 hours results in soldiers standing in formation at 0600 hours, an intended consequence. To not be late, soldiers living off post may have to depart their homes at 0500 hours, a consequence that's probably also anticipated. However, since most junior enlisted soldiers with families probably own only one car, there will most likely be another consequence: entire families rising at 0430 hours. Spouses must drive their soldiers to post and children, who can't be left at home unattended, must accompany them. This is an unintended consequence.

## SUMMARY

3-89. The human dimension of leadership, how the environment affects you and your people, affects how you lead. Stress is a major part of the environment, both in peace and war. Major sources of stress include the rapid pace of change and the increasing complexity of technology. As an Army leader, you must stay on top of both. Your character and skills—how you handle stress—and the morale and discipline you develop and your team are more important in establishing the climate in your organization than any external circumstances.

3-90. The organizational climate and the institutional culture define the environment in which you and your people work. Direct, organizational, and strategic leaders all have different responsibilities regarding climate and culture; what's important now is to realize that you, the leader, establish the climate of your organization. By action or inaction, you determine the environment in which your people work.

3-91. Leadership styles are different ways of approaching the DO of BE, KNOW, DO—the actual work of leading people. You've read about five leadership styles: directing, participating, delegating, transformational, and transactional. But remember that you must be able to adjust the leadership style you use to the situation and the people you're leading. Remember also that you're not limited

to any one style in a given situation: you should use techniques from different styles if that will help you motivate your people to accomplish the mission. Your leader attributes of judgment, intelligence, cultural awareness, and self-control all play major roles in helping you choose the proper style and the appropriate techniques for the task at hand. That said, you must always be yourself.

3-92. All leader actions result in intended and unintended consequences. Two points to remember: think through your decisions and do your duty. It might not seem that the actions of one leader of one small unit matter in the big picture. But they do. In the words of Confederate COL William C. Oats, who faced COL Joshua Chamberlain at Little Round Top: "Great events sometimes turn on comparatively small affairs."

3-93. In spite of stress and changes, whether social or technological, leadership always involves shaping human emotions and behaviors. As they serve in more complex environments with wider-ranging consequences, Army leaders refine what they've known and done as well as develop new styles, skills, and actions. Parts Two and Three discuss the skills and actions required of leaders from team to Department of the Army level.

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### ETHICAL REASONING

4-24. Ethical leaders do the right things for the right reasons all the time, even when no one is watching. But figuring out what's the "right" thing is often, to put it mildly, a most difficult task. To fulfill your duty, maintain your integrity, and serve honorably, you must be able to reason ethically.

4-25. Occasionally, when there's little or no time, you'll have to make a snap decision based on your experience and intuition about what feels right. For Army leaders, such decisions are guided by Army values (discussed in Chapter 2), the institutional culture, and the organizational climate (discussed in Chapter 3). These shared values then serve as a basis for the whole team's buying into the leader's decision. But comfortable as this might be, you should not make all decisions on intuition.

4-26. When there's time to consider alternatives, ask for advice, and think things through, you can make a deliberate decision. First determine what's legally right by law and regulation. In gray areas requiring interpretation, apply Army values to the situation. Inside those boundaries, determine the best possible answer from among competing solutions, make your decision, and act on it.

4-27. The distinction between snap and deliberate decisions is important. In many decisions, you must think critically because your intuition—what feels right—may lead to the wrong answer. In combat especially, the intuitive response won't always work.

4-28. The moral application of force goes to the heart of military ethics. S. L. A. Marshall, a military historian as well as a brigadier general, has written that the typical soldier is often at a disadvantage in combat because he "comes from a civilization in which aggression, connected with the taking of a human life, is prohibited and unacceptable." Artist Jon Wolfe, an infantryman in Vietnam, once said that the first time he aimed his weapon at another human being, a "little voice" in the back of his mind asked, "Who gave you permission to do this?" That "little voice" comes, of course, from a lifetime of living within the law. You can

determine the right thing to do in these very unusual circumstances only when you apply ethical as well as critical reasoning.

4-29. The right action in the situation you face may not be in regulations or field manuals. Even the most exhaustive regulations can't predict every situation. They're designed for the routine, not the exceptional. One of the most difficult tasks facing you as an Army leader is determining when a rule or regulation simply doesn't apply because the situation you're facing falls outside the set of conditions envisioned by those who wrote the regulation. Remember COL Chamberlain on Little Round Top. The drill manuals he had studied didn't contain the solution to the tactical problem he faced; neither this nor any other manual contain "cook-book" solutions to ethical questions you will confront. COL Chamberlain *applied* the doctrine he learned from the drill manuals. So you should apply Army values, your knowledge, and your experience to any decision you make and be prepared to accept the consequences of your actions. Study, reflection, and ethical reasoning can help you do this.

4-30. Ethical reasoning takes you through these steps:

- Define the problem.
- Know the relevant rules.
- Develop and evaluate courses of action.
- Choose the course of action that best represents Army values.

4-31. These steps correspond to some of the steps of the decision making leadership action in Chapter 5. Thus, ethical reasoning isn't a separate process you trot out only when you think you're facing an ethical question. It should be part of the thought process you use to make any decision. Your subordinates count on you to do more than make tactically sound decisions. They rely on you to make decisions that are ethically sound as well. You should always consider ethical factors and, when necessary, use Army values to gauge what's right.

4-32. That said, not every decision is an ethical problem. In fact, most decisions are ethically neutral. But that doesn't mean you don't have

to think about the ethical consequences of your actions. Only if you reflect on whether what you're asked to do or what you ask your people to do accords with Army values will you develop that sense of right and wrong that marks ethical people and great leaders. That sense of right and wrong alerts you to the presence of ethical aspects when you face a decision.

4-33. Ethical reasoning is an art, not a science, and sometimes the best answer is going to be hard to determine. Often, the hardest decisions are not between right and wrong, but between shades of right. Regulations may allow more than one choice. There may even be more than one good answer, or there may not be enough time to conduct a long review. In those cases, you must rely on your judgment.

### **Define the Problem**

4-34. Defining the problem is the first step in making any decision. When you think a decision may have ethical aspects or effects, it's especially important to define it precisely. Know who said what—and what specifically was said, ordered, or demanded. Don't settle for secondhand information; get the details. Problems can be described in more than one way. This is the hardest step in solving any problem. It's especially difficult for decisions in the face of potential ethical conflicts. Too often some people come to rapid conclusions about the nature of a problem and end up applying solutions to what turn out to be only symptoms.

### **Know the Relevant Rules**

4-35. This step is part of fact gathering, the second step in problem solving. Do your homework. Sometimes what looks like an ethical problem may stem from a misunderstanding of a regulation or policy, frustration, or overenthusiasm. Sometimes the person who gave an order or made a demand didn't check the regulation and a thorough reading may make the problem go away. Other times, a difficult situation results from trying to do something right in the wrong way. Also, some regulations leave room for interpretation; the problem then becomes a policy matter rather than an ethical one. If you do perceive an ethical problem,

explain it to the person you think is causing it and try to come up with a better way to do the job.

### **Develop and Evaluate Courses of Action**

4-36. Once you know the rules, lay out possible courses of action. As with the previous steps, you do this whenever you must make a decision. Next, consider these courses of action in view of Army values. Consider the consequences of your courses of action by asking yourself a few practical questions: Which course of action best upholds Army values? Do any of the courses of action compromise Army values? Does any course of action violate a principle, rule, or regulation identified in Step 2? Which course of action is in the best interest of the Army and of the nation? This part will feel like a juggling act; but with careful ethical reflection, you can reduce the chaos, determine the essentials, and choose the best course—even when that choice is the least bad of a set of undesirable options.

### **Choose the Course of Action That Best Represents Army Values**

4-37. The last step in solving any problem is making a decision and acting on it. Leaders are paid to make decisions. As an Army leader, you're expected—by your bosses and your people—to make decisions that solve problems without violating Army values.

4-38. As a values-based organization, the Army uses expressed values—Army values—to provide its fundamental ethical framework. Army values lay out the ethical standards expected of soldiers and DA civilians. Taken together, Army values and ethical decision making provide a moral touchstone and a workable process that enable you to make sound ethical decisions and take right actions confidently.

4-39. The ethical aspects of some decisions are more obvious than those of others. This example contains an obvious ethical problem. The issues will seldom be so clear-cut; however, as you read the example, focus on the steps SGT Kirk follows as he moves toward an ethical decision. Follow the same steps when you seek to do the right thing.

### The EFMB Test

SGT Kirk, who has already earned the Expert Field Medical Badge (EFMB), is assigned as a grader on the division's EFMB course. Sergeant Kirk's squad leader, SSG Michaels, passes through SGT Kirk's station and fails the task. Just before SGT Kirk records the score, SSG Michaels pulls him aside.

"I need my EFMB to get promoted," SSG Michaels says. "You can really help me out here; it's only a couple of points anyway. No big deal. Show a little loyalty."

SGT Kirk wants to help SSG Michaels, who's been an excellent squad leader and who's loyal to his subordinates. SSG Michaels even spent two Saturdays helping SGT Kirk prepare for his promotion board. If SGT Kirk wanted to make this easy on himself, he would say the choice is between honesty and loyalty. Then he could choose loyalty, falsify the score, and send everyone home happy. His life under SSG Michaels would probably be much easier too.

However, SGT Kirk would not have defined the problem correctly. (Remember, defining the problem is often the hardest step in ethical reasoning.) SGT Kirk knows the choice isn't between loyalty and honesty. Loyalty doesn't require that he lie. In fact, lying would be disloyal to the Army, himself, and the soldiers who met the standard. To falsify the score would also be a violation of the trust and confidence the Army placed in him when he was made an NCO and a grader. SGT Kirk knows that loyalty to the Army and the NCO corps comes first and that giving SSG Michaels a passing score would be granting the squad leader an unfair advantage. SGT Kirk knows it would be wrong to be a coward in the face of this ethical choice, just as it would be wrong to be a coward in battle. And if all that were not enough, when SGT Kirk imagines seeing the incident in the newspaper the next morning—Trusted NCO Lies to Help Boss—he knows what he must do.

4-40. When SGT Kirk stands his ground and does the right thing, it may cost him some pain in the short run, but the entire Army benefits. If he makes the wrong choice, he weakens the Army. Whether or not the Army lives by its values isn't just up to generals and colonels; it's up to each of the thousands of SGT Kirks, the Army leaders who must make tough calls when no one is watching, when the easy thing to do is the wrong thing to do.

#### REFLECTIVE THINKING

4-41. Leader development doesn't occur in a vacuum. All leaders must be open to feedback on their performance from multiple perspectives—seniors, peers, and subordinates. But being open to feedback is only one part of the equation. As a leader, you must also listen to and use the feedback: you must be able to reflect. Reflecting is the ability to take information, assess it, and apply it to behavior to explain why things did or did not go well. You can then use the resulting explanations to improve future behavior. Good leaders are always

striving to become better leaders. This means you need consistently to assess your strengths and weaknesses and reflect on what you can do to sustain your strengths and correct your weaknesses. To become a better leader, you must be willing to change.

4-42. For reasons discussed fully in Chapter 5, the Army often places a premium on doing—on the third element of BE, KNOW, DO. All Army leaders are busy dealing with what's on their plates and investing a lot of energy in accomplishing tasks. But how often do they take the time to STOP and really THINK about what they are doing? How often have you seen this sign on a leader's door: Do Not Disturb—Busy Reflecting? Not often. Well, good leaders need to take the time to think and reflect. Schedule it; start really exercising your capacity to get feedback. Then reflect on it and use it to improve. There's nothing wrong with making mistakes, but there's plenty wrong with not learning from those mistakes. Reflection is the means to that end.

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### Reception on Christmas Eve (continued)

“My guess is that those soldiers will not only do anything and everything that first sergeant wants, but they are going to tell anyone who will listen that they belong to the best outfit in the Army.”

5-118. **Enrichment stage.** New teams and new team members gradually move from questioning everything to trusting themselves, their peers, and their leaders. Leaders earn that trust by listening, following up on what they hear, establishing clear lines of authority, and setting standards. By far the most important thing a leader does to strengthen the team is training. Training takes a group of individuals and molds them into a team while preparing them to accomplish their missions. Training occurs during all three team building stages, but is particularly important during enrichment; it's at this point that the team is building collective proficiency.

5-119. **Sustainment stage.** When a team reaches this stage, its members think of the team as “their team.” They own it, have pride in it, and want the team to succeed. At this stage, team members will do what needs to be done without being told. Every new mission gives the leader a chance to make the bonds even stronger, to challenge the team to reach for new heights. The leader develops his subordinates because they're tomorrow's team leaders. He continues to train the team so that it maintains proficiency in the collective and individual tasks it must perform to accomplish its missions. Finally, the leader works to keep the team going in spite of the stresses and losses of combat.

### Building the Ethical Climate

5-120. As an Army leader, you are the ethical standard bearer for your organization. You're responsible for building an ethical climate that demands and rewards behavior consistent with Army values. The primary factor affecting an organization's ethical climate is its leader's ethical standard. Leaders can look to other

organizational or installation personnel—for example, the chaplain, staff judge advocate, inspector general, and equal employment opportunity manager—to assist them in building and assessing their organization's ethical climate, but the ultimate responsibility belongs to the leader—period.

5-121. Setting a good ethical example doesn't necessarily mean subordinates will follow it. Some of them may feel that circumstances justify unethical behavior. (See, for example, the situation portrayed in Appendix D.) Therefore, you must constantly seek to maintain a feel for your organization's current ethical climate and take prompt action to correct any discrepancies between the climate and the standard. One tool to help you is the Ethical Climate Assessment Survey (ECAS), which is discussed in Appendix D. You can also use some of the resources listed above to help you get a feel for your organization's ethical climate. After analyzing the information gathered from the survey or other sources, a focus group may be a part of your plan of action to improve the ethical climate. Your abilities to listen and decide are the most important tools you have for this job.

5-122. It's important for subordinates to have confidence in the organization's ethical environment because much of what is necessary in war goes against the grain of the societal values individuals bring into the Army. You read in the part of Chapter 4 that discusses ethical reasoning that a soldier's conscience may tell him it's wrong to take human life while the mission of the unit calls for exactly that. Unless you've established a strong ethical climate that lets that soldier know his duty, the conflict of values may sap the soldier's will to fight.



### **SGT York**

A conscientious objector from the Tennessee hills, Alvin C. York was drafted after America's entry into World War I and assigned to the 328th Infantry Regiment of the 82d Division, the "All Americans." PVT York, a devout Christian, told his commander, CPT E. C. B. Danforth, that he would bear arms against the enemy but didn't believe in killing. Recognizing PVT York as a potential leader but unable to sway him from his convictions, CPT Danforth consulted his battalion commander, MAJ George E. Buxton, about how to handle the situation.

MAJ Buxton was also deeply religious and knew the Bible as well as PVT York did. He had CPT Danforth bring PVT York to him, and they talked at length about the Scriptures, about God's teachings, about right and wrong, about just wars. Then MAJ Buxton sent PVT York home on leave to ponder and pray over the dilemma. The battalion commander promised to release him from the Army if PVT York decided he could not serve his country without sacrificing his integrity. After two weeks of reflection and deep soul-searching, PVT York returned, having reconciled his personal values with those of the Army. PVT York's decision had great consequences for both himself and his unit.

Alvin York performed an exploit of almost unbelievable heroism in the morning hours of 8 October 1918 in France's Argonne Forest. He was now a corporal (CPL), having won his stripes during combat in the Lorraine. That morning CPL York's battalion was moving across a valley to seize a German-held rail point when a German infantry battalion, hidden on a wooded ridge overlooking the valley, opened up with machine gun fire. The American battalion dived for cover, and the attack stalled. CPL York's platoon, already reduced to 16 men, was sent to flank the enemy machine guns.

As the platoon advanced through the woods to the rear of the German outfit, it surprised a group of about 25 German soldiers. The shocked enemy offered only token resistance, but then more hidden machine guns swept the clearing with fire. The Germans dropped safely to the ground, but nine Americans, including the platoon leader and the other two corporals, fell dead or wounded. CPL York was the only unwounded leader remaining.

CPL York found his platoon trapped and under fire within 25 yards of the enemy's machine gun pits. Nonetheless, he didn't panic. Instead, he began firing into the nearest enemy position, aware that the Germans would have to expose themselves to get an aimed shot at him. An expert marksman, CPL York was able to hit every enemy soldier who popped his head over the parapet.

After he had shot more than a dozen enemy, six German soldiers charged him with fixed bayonets. As the Germans ran toward him, CPL York once again drew on the instincts of a Tennessee hunter and shot the last man first (so the ones in front wouldn't see the ones he shot fall), then the fifth, and so on. After he had shot all the assaulting Germans, CPL York again turned his attention to the machine gun pits. In between shots, he called for the Germans to give up. It may have initially seemed ludicrous for a lone soldier in the open to call on a well-entrenched enemy to surrender, but their situation looked desperate to the German battalion commander, who had seen over 20 of his soldiers killed by this one American. The commander advanced and offered to surrender if CPL York would stop shooting.

CPL York now faced a daunting task. His platoon, now numbering seven unwounded soldiers, was isolated behind enemy lines with several dozen prisoners. However, when one American said their predicament was hopeless, CPL York told him to be quiet and began organizing the prisoners for a movement. CPL York moved his unit and prisoners toward American lines, encountering other German positions and forcing their surrender. By the time the platoon reached the edge of the valley they had left just a few hours before, the hill was clear of German machine guns. The fire on the Americans in the valley was substantially reduced and their advance began again.

**SGT York (continued)**

CPL York returned to American lines, having taken a total of 132 prisoners and putting 35 machine guns out of action. He left the prisoners and headed back to his own outfit. Intelligence officers questioned the prisoners and learned from their testimony the incredible story of how a fighting battalion was destroyed by one determined soldier armed only with a rifle and pistol. Alvin C. York was promoted to sergeant and awarded the Medal of Honor for this action. His character, physical courage, technical competence, and leadership enabled him to destroy the morale and effectiveness of an entire enemy infantry battalion.

5-123. CPT Danforth and MAJ Buxton could have ordered SGT York to go to war, or they might have shipped him out to a job that would take him away from the fight. Instead, these leaders carefully addressed the soldier's ethical concerns. MAJ Buxton, in particular, established the ethical climate by showing that he, too, had wrestled with the very questions that troubled SGT York. The climate these leaders created held that every person's beliefs are important and should be considered. MAJ Buxton demonstrated that a soldier's duties could be consistent with the ethical framework established by his religious beliefs. Leaders who create a healthy ethical environment inspire confidence in their subordinates; that confidence and the trust it engenders builds the unit's will. They create an environment where soldiers can truly "be all they can be."

**LEARNING**

*For most men, the matter of learning is one of personal preference. But for Army [leaders], the obligation to learn, to grow in their profession, is clearly a public duty.*

General of the Army Omar N. Bradley

5-124. The Army is a learning organization, one that harnesses the experience of its people and organizations to improve the way it does business. Based on their experiences, learning organizations adopt new techniques and procedures that get the job done more efficiently or effectively. Likewise, they discard techniques and procedures that have outlived their purpose. However, you must remain flexible when trying to make sense of your experiences. The leader who works day after day after day and

never stops to ask "How can I do this better?" is never going to learn and won't improve the team.

5-125. Leaders who learn look at their experience and find better ways of doing things. Don't be afraid to challenge how you and your subordinates operate. When you ask "Why do we do it that way?" and the only answer you get is "Because we've always done it that way," it's time for a closer look. Teams that have found a way that works still may not be doing things the best way. Unless leaders are willing to question how things are, no one will ever know what can be.

**"Zero Defects" and Learning**

5-126. There's no room for the "zero-defects" mentality in a learning organization. Leaders willing to learn welcome new ways of looking at things, examine what's going well, and are not afraid to look at what's going poorly. When direct leaders stop receiving feedback from subordinates, it's a good indication that something is wrong. If the message you hammer home is "There will be no mistakes," or if you lose your temper and "shoot the messenger" every time there's bad news, eventually your people will just stop telling you when things go wrong or suggesting how to make things go right. Then there will be some unpleasant surprises in store. Any time you have human beings in a complex organization doing difficult jobs, often under pressure, there are going to be problems. Effective leaders use those mistakes to figure out how to do things better and share what they have learned with other leaders in the organization, both peers and superiors.

## Appendix D

### A Leader Plan of Action and the ECAS

D-1. By completing a set of tasks (shown in Figure D-1), leaders can improve, sustain, or reinforce a standard of performance within their organizations. Leaders may complete some or all of the sub-tasks shown in Figure D-1, depending on the situation.

D-2. A leader plan of action (developed in step 3) identifies specific leader actions necessary to achieve improvement. It is similar to the individual plan of action that Appendix C discusses.

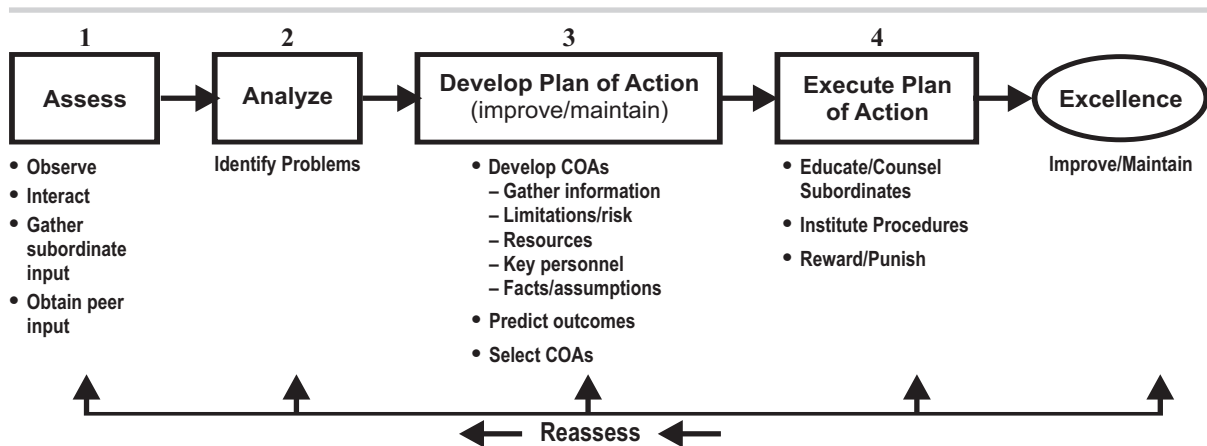


Figure D-1. The Leader Plan of Action Development Process

D-3. Begin your plan of action by assessing your unit (Step 1). Observe, interact, and gather feedback from others; or conduct formal assessments of the workplace. Then analyze the information you gathered to identify what needs improvement (Step 2). Once you have identified what needs improvement, begin to develop courses of action to make the improvements.

D-4. In Step 3, you develop your plan of action. First, develop and consider several possible courses of action to correct the weaknesses you identified. Gather important information, assess the limitations and risks associated with the various courses, identify available key personnel and resources, and verify facts and assumptions. Attempt to predict the outcome for each possible course of action. Based on your predictions, select several leader actions to deal with the problems.

D-5. Execute your plan of action (Step 4) by educating, training, or counseling your subordinates; instituting new policies or procedures; and revising or enforcing proper systems of rewards and punishment. Your organization moves towards excellence by improving substandard or weak areas and maintaining conditions that meet or exceed the standard. Finally, periodically reassesses your unit to identify new matters of concern or to evaluate the effectiveness of the leader actions.

D-6. You can use this process for many areas of interest within your organization. A case study demonstrating how to use an ECAS to prepare a leader plan of action follows. It includes a description of how one leader gathered information to complete the survey. (You can obtain the form used to conduct an ECAS through Training Support Centers by ordering GTA 22-6-1.)



## PREPARATION OF AN ECAS

D-7. 2LT Christina Ortega has been a military police platoon leader for almost eight months. When she first came to the platoon, it was a well-trained, cohesive group. Within two months of her taking charge, she and her platoon deployed on a six-month rotation to support operations in Bosnia. The unit performed well, and she quickly earned a reputation as a leader with high standards for herself and her unit. Now redeployed, she must have her platoon ready in two months for a rotation at the Combat Maneuver Training Center (CMTC). She realizes that within that time she must get the unit's equipment ready for deployment, train her soldiers on different missions they will encounter at the CMTC, and provide them some much needed and deserved time off.

D-8. As 2LT Ortega reflects on her first eight months of leadership, she remembers how she took charge of the platoon. She spoke individually with the leaders in the platoon about her expectations and gathered information about her subordinates. She stayed up all night completing the leadership philosophy memorandum that she gave to every member of her platoon. After getting her feet on the ground and getting to know her soldiers, she assessed the platoon's ethical climate using the ECAS. Her unit's overall ECAS score was very good. She committed herself to maintaining that positive ethical climate by continuing the established policies and by monitoring the climate periodically.

D-9. Having completed a major deployment and received a recent influx of some new soldiers, 2LT Ortega decides to complete another ECAS. She heads to the unit motor pool to observe her soldiers preparing for the next day's training exercise. The platoon is deploying to the local training area for the "best squad" competition prior to the ARTEP evaluation at the CMTC. "The best squad competition has really become a big deal in the company," she thinks. "Squad rivalry is fierce, and the squad leaders seem to be looking for an edge so they can come out on top and win the weekend pass that goes to the winning squad."

D-10. She talks to as many of her soldiers as she can, paying particular attention to the newest members of the unit. One new soldier, a vehicle driver for SSG Smith, the 2nd Squad Leader, appears very nervous and anxious. During her conversation with the soldier, 2LT Ortega discovers some disturbing information.

D-11. The new soldier, PFC O'Brien, worries about his vehicle's maintenance and readiness for the next day. His squad leader has told him to "get the parts no matter what." PFC O'Brien says that he admires SSG Smith because he realizes that SSG Smith just wants to perform well and keep up the high standards of his previous driver. He recounts that SSG Smith has vowed to win the next day's land navigation competition. "SSG Smith even went so far as to say that he knows we'll win because he already knows the location of the points for the course. He saw them on the XO's desk last night and wrote them on his map."

D-12. 2LT Ortega thanks the soldier for talking honestly with her and immediately sets him straight on the proper and improper way to get repair parts. By the time she leaves, PFC O'Brien knows that 2LT Ortega has high standards and will not tolerate improper means of meeting them. Meanwhile, 2LT Ortega heads back toward the company headquarters to find the XO.

D-13. She finds the XO busily scribbling numbers and dates on pieces of paper. He is obviously involved and frantic. He looks up at her and manages a quick "Hi, Christina," before returning to his task. The battalion XO apparently did not like the way the unit status report (USR) portrayed the status of the maintenance in the battalion and refused to send that report forward. Not completely familiar with the USR, 2LT Ortega goes to the battalion motor officer to get some more information. After talking to a few more people in her platoon, 2LT Ortega completes the ECAS shown in Figure D-2.



An ethical climate is one in which our stated Army values are routinely articulated, supported, practiced and respected. The Ethical Climate of an organization is determined by a variety of factors, including the *individual character* of unit members, the *policies and practices* within the organization, the *actions of unit leaders*, and *environmental and mission factors*. Leaders should periodically assess their unit's ethical climate and take appropriate actions to maintain the high ethical standards expected of all Army organizations. This survey will assist you in making these assessments and in identifying the actions necessary to accomplish this vital leader function. FM 22-100, *Army Leadership*, provides specific leader actions necessary to sustain or improve your ethical climate, as necessary.

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**References:** FM 22-100

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**OCTOBER 1997**

- E. We maintain an organizational creed, motto, and/or philosophy that is consistent with Army values. 4
- F. We submit unit reports that reflect accurate information. 3
- G. We ensure unit members are aware of, and are comfortable using, the various channels available to report unethical behavior. 4
- H. We treat fairly those individuals in our unit who report unethical behavior. 5
- I. We hold accountable (i.e., report and/or punish) members of our organization who behave unethically. 4

**Section II Total**

**\*Use the following scale for questions in Section III.**

Never	Hardly Ever	Sometimes	Almost Always	Always
1	2	3	4	5

**III. Unit Leader Actions - "What do I do?"** This section focuses on what you do as the leader of your organization to encourage an ethical climate.

- A. I discuss Army values in orientation programs when I welcome new members to my organization. 5
- B. I routinely assess the ethical climate of my unit (i.e., sensing sessions, climate surveys, etc.). 5
- C. I communicate my expectations regarding ethical behavior in my unit, and require subordinates to perform tasks in an ethical manner. 5
- D. I encourage discussions of ethical issues in After Action Reviews, training meetings, seminars, and workshops. 3
- E. I encourage unit members to raise ethical questions and concerns to the chain of command or other individuals, if needed (i.e., chaplain, IG, etc.). 5
- F. I consider ethical behavior in performance evaluations, award and promotion recommendations, and adverse personnel actions. 4
- G. I include maintaining a strong ethical climate as one of my unit's goals and objectives. 5

**Section III Total**

## INSTRUCTIONS

Answer the questions in this survey according to how you currently perceive your unit and your own leader actions, NOT according to how you would prefer them to be or how you think they should be. This information is for your use, (not your chain of command's) to determine if you need to take action to improve the Ethical Climate in your organization. Use the following scale for all questions in Sections I and II.

Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree
1	2	3	4	5

**I. Individual Character - "Who are we?"** This section focuses on your organization's members' commitment to Army values. Please answer the following questions based on your observations of the ethical commitment in your unit. (This means your *immediate* unit. If you are a squad leader, it means you and your squad. If you are a civilian supervisor, it means you and your section.)

- A. In general, the members of my unit demonstrate a commitment to Army values (honor, selfless service, integrity, loyalty, courage, duty and respect). 4
- B. The members of my unit typically accomplish a mission by "doing the right thing" rather than compromising Army values. 2
- C. I understand, and I am committed to, the Army's values as outlined in FM 22-100, *Army Leadership*. 5

**Section I Total**

**II. Unit/Workplace Policies & Practices - "What do we do?"**

This section focuses on what you, and the leaders who report to you, do to maintain an ethical climate in your workplace. (This does **not** mean your superiors. Their actions will be addressed in Section IV).

- A. We provide clear instructions which help prevent unethical behavior. 2
- B. We promote an environment in which subordinates can learn from their mistakes. 5
- C. We maintain appropriate, not dysfunctional, levels of stress and competition in our unit. 1
- D. We discuss ethical behavior and issues during regular counseling sessions. 3

**IV. Environmental/Mission Factors - "What surrounds us?"**

This section focuses on the external environment surrounding your organization. Answer the following questions to assess the impact of these factors on the ethical behavior in your organization.

**Use the following scale for all questions in Section IV. \*\*\*Note: the scale is reversed for this section (Strongly Agree is scored as a "1", not a "5")\*\*\***

Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree
1	2	3	4	5

- A. My unit is currently under an excessive amount of stress (i.e., inspections, limited resources, frequent deployments, training events, deadlines, etc.). 1
- B. My higher unit leaders foster a 'zero defects' outlook on performance, such that they do not tolerate mistakes. 1
- C. My higher unit leaders over-emphasize competition between units. 1
- D. My higher unit leaders appear to be unconcerned with unethical behavior as long as the mission is accomplished. 2
- E. I do not feel comfortable bringing up ethical issues with my supervisors. 5
- F. My peers in my unit do not seem to take ethical behavior very seriously. 1

**Section IV Total**

**Place the Total Score from each section in the spaces below:**  
(A score of 1 or 2 on any question requires some immediate leader action.)

<b>Section I - Individual Character Total Score</b>	<b>11</b>
<b>Section II - Leader Action Total Score</b>	<b>31</b>
<b>Section III - Unit Policies and Procedures Total Score</b>	<b>32</b>
<b>Section IV - Environmental/Mission Factors Total Score</b>	<b>11</b>

**ECAS Total Score (I + II + III + IV)** **85**

25 - 75 Take Immediate Action to Improve Ethical Climate	76 - 100 Take Actions to Improve Ethical Climate	101 - 125 Maintain a Healthy Ethical Climate
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**Figure D-2. Example of an Ethical Climate Assessment Survey**

## PREPARATION OF A LEADER PLAN OF ACTION

D-14. 2LT Ortega looks at her ECAS score and determines that she needs to take action to improve the ethical climate in her platoon. To help determine where she should begin, 2LT Ortega looks at the scores for each question. She knows that any question receiving a “1” or “2” must be addressed immediately in her plan of action. As 2LT Ortega reviews the rest of the scores for her unit, she identifies additional problems to correct. Furthermore, she decides to look at a few actions in which her unit excels and to describe ways to sustain the performance. As she continues to develop the leader plan of action, she looks at each subject she has identified. She

next develops the plan shown in Figure D-3 to correct the deficiencies. At the bottom of the form, she lists at least two actions she plans to take to maintain the positive aspects of her platoon’s ethical climate.

D-15. 2LT Ortega has already completed the first three steps (assess, analyze, and develop a plan of action) specified in Figure D-1. When she takes action to implement the plan she will have completed the process. She must then follow up to ensure her actions have the effects she intended.

### Actions to *correct* negative aspects of the ethical climate in the organization

**Problem:** Dysfunctional competition/stress in the unit (the competition is causing some members of the unit to seek ways to gain an unfair advantage over others) [ECAS question # II.C., IV.A. & IV.C.]

**Action:**

- Postpone the platoon competition; focus on the readiness of equipment and soldier preparation rather than competition.
- Build some time in the long-range calendar to allow soldiers time to get away from work and relax.
- Focus on the group's accomplishment of the mission (unit excellence). Reward the platoon, not squads, for excellent performance. Reward teamwork.

**Problem:** Battalion XO "ordering" the changing of reports [IV B., D. & F.]

**Action:**

- Go see the company XO first and discuss what he should do.
- If the XO won't deal with it, see the commander myself to raise the issue.

**Problem:** Squad leader's unethical behavior [I.B. & II.A.]

**Action:**

- Reprimand the squad leader for getting the land navigation points unfairly.
- Counsel the squad leader on appropriate ways to give instructions and accomplish the mission without compromising values.

**Problem:** Unclear instructions given by the squad leader ("get the parts no matter what") [II.A.]

**Action:**

- Have the platoon sergeant give a class (NCODP) on proper guidelines for giving instructions and appropriate ethical considerations when asking subordinates to complete a task.
- Have the platoon sergeant counsel the squad leader(s) on the importance of using proper supply procedures.

**Problem:** Company XO "changing report" to meet battalion XO's needs [IV.B. & F.]

**Action:**

- Have an informal discussion with the company XO about correct reporting or see the company commander to raise the issue about the battalion XO.

### Actions to *maintain* positive aspects of the ethical climate in the organization

**Maintain:** Continue to hold feedback (sensing) sessions and conduct ECAS assessments to maintain a feel for how the platoon is accomplishing its mission. [II.D. & G.; III.A. & B.]

**Maintain:** Continue to reward people who perform to high standards without compromising values. Punish those caught compromising them. [III.E. & F.]

**Figure D-3. Example of a Leader Plan of Action**